

**Interim Evaluation of the Eastern Caribbean Enhanced Direct Access (EDA) Project in
Antigua & Barbuda, Grenada, and the Commonwealth of Dominica**

Entitled

**“Integrated physical adaptation and community resilience through an enhanced direct
access (EDA) pilot in the public, private, and civil society sectors of three Eastern
Caribbean small island developing states”**

FINAL INTERIM EVALUATION REPORT

Submitted to:

The Department of Environment, Ministry of Health and the Environment, Antigua & Barbuda

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TABLE OF CONTENTS

ACRONYMS AND ABBREVIATIONS	vi
EXECUTIVE SUMMARY	viii
Summary of Key Findings.....	viii
Project Rating.....	xv
Conclusion	xvi
Recommendations	xvii
1 INTRODUCTION AND BACKGROUND	1
1.1 Background	1
1.2 The EDA Project in the Eastern Caribbean	1
1.3 The Interim Evaluation – Purpose and Scope.....	2
2 IE APPROACH AND METHODOLOGY	4
2.1 IE Limitations and Constraints.....	8
3 FINDINGS	9
3.1 Project Timeline Summary	9
3.2 Relevance, Effectiveness and Efficiency	9
3.2.1 Relevance	9
3.2.2 Effectiveness	12
3.2.3 Efficiency	22
3.3 Coherence in climate finance delivery with other multilateral entities	57
3.4 Gender Equity	58
3.5 Country ownership of projects and programmes	60
3.6 Innovativeness in Results Areas	64
3.7 Replication and Scalability	65
3.7.1 Lessons and good practices	67
3.7.2 Sustainability Factors	68
3.7.3 Risks to Sustainability.....	69
3.8 Unexpected results (both positive and negative).....	70
3.8.1 Adaptive management.....	71
4 SUMMARY OF FINDINGS, PROJECT RATING, CONCLUSION AND RECOMMENDATIONS	73
4.1 Summary of Major Findings	73
4.2 Project Rating.....	80
4.3 Conclusion.....	85
4.4 Recommendations	85
5 REFERENCES.....	88
6 ANNEXES.....	106
Annex 1. Terms of Reference (abbreviated).....	107

Annex 2.	List of Stakeholders Consulted	116
Annex 3.	Key Evaluation Questions	120
Annex 4.	Defined Institutional Structure for the EDA Project	127
Annex 5.	Institutional Analysis	128
Annex 6.	PMC Resolutions	144
Annex 7.	Planned and Actual Expenditure and Liquidity for the EDA Project	149
Annex 8.	Key Risks Identified and Assessed in the FAA (2019).....	150
Annex 9.	An inventory of complementary initiatives funded by other MEAs relevant to Outputs 2, 3 and 4 of the GCF EDA Project for ATG, DOM, GRD.....	151
Annex 10.	Rating Scale	153

List of Tables

Table 1.1.	Objective, Outcomes and Outputs and Budget for the EDA Project.....	2
Table 2.1.	EDA Project Deliverables and Submission Timelines	4
Table 2.2.	Key EDA Project IE analysis techniques/approaches	6
Table 3.1.	Update on Fund-Level Impact Indicators.....	16
Table 3.2.	Update on Programme Level Indicators	17
Table 3.3.	Institutional structures for the EDA Project	27
Table 3.4.	PMC Meeting Status for EDA Countries	28
Table 3.5.	EDA Project Technical Advisory Committee performance.....	30
Table 3.6.	Annual Unspent Budget Space	38
Table 3.7.	Budgetary Management for the EDA Project (2019-2021).....	39
Table 3.8.	Cost Effectiveness Analysis.....	43
Table 3.9.	Comparison of Value of Planned Procurements, Value of Actual Expenditure and Amounts Committed	46
Table 3.10.	Risks to the Remainder of Project Implementation.....	50
Table 3.11.	Summary Review of Findings for EDA Project Teams and institutional structures	55
Table 3.12.	EDA Project co-financing to date	62
Table 3.13.	Risks to the Continuation of Results beyond the LOP.....	69

List of Figures

Figure 1.1.	EDA IE seven main areas of focus, as outlined in the TOR for the IE	3
Figure 3.1.	Key initial EDA Project timelines	9
Figure 3.2.	Theory of Change for the EDA Project.....	11
Figure 3.3.	Alignment with National Laws, Policies and Regulations	12
Figure 3.4.	Status of Project Implementation by country and project outputs	13
Figure 3.5.	Types of stakeholders in the EDA Project.....	34
Figure 3.6.	EDA Project Quarterly Expenditure Trends (Planned versus Actual), July 2019 – December 2021.....	37
Figure 3.7.	Estimated CPI and SPI Trends.....	40
Figure 3.8.	Cost Efficiency – CPI (EE)	40
Figure 3.9.	Time Phased Quarterly performance	41
Figure 3.10.	Cost Efficiency – CPI (EE)	41
Figure 3.11.	SPI for AE and EEs for the EDA Project	42
Figure 3.12.	Estimated CV and SV trends	43
Figure 3.13.	Performance Improvement Estimates	44

Figure 3.14. DOE’s Risk Management Process	48
Figure 3.15. EDA Project M&E Structure	53
Figure 3.16. M&E Matrix	55
Figure 3.17. Complementary activities to the EDA Project	58

List of Boxes

Box 1.1. Purpose of the EDA Project IE	3
Box 3.1. EDA Project Theory of Change	10
Box 3.2. Country Status Narrative - Antigua and Barbuda	19
Box 3.3. Country Status Narrative - Dominica	20
Box 3.4. Country Status Narrative - Grenada	21
Box 3.5. Key advances made during the ATG Mission March -April 2022	26
Box 3.6. AE Records of Monitoring of SAs	33
Box 3.7. Examples of Issues that could have been resolved through proactive stakeholder engagement	34
Box 3.8. Communication Issues During Start-up Process for Output 4 Dominica	35
Box 3.9. Quotes from Output 3 beneficiaries	35
Box 3.10. Procurement Issues and Constraints	47
Box 3.11. Examples of Factors which have Negatively Impacted Risk Management Efforts	49
Box 3.12. Examples of steps taken by the Project to comply with ESS Framework	52
Box 3.13. CAB-I	65
Box 3.14. Performance criteria/Standard	68

ACRONYMS AND ABBREVIATIONS

AE	Accredited Entity
AF	Adaptation Fund
AG	Attorney General
AMA	Accreditation Master Agreement
APR	Annual Performance Report
ATG	Antigua
AWP	Annual Work Plan
BNTF	Basic Needs Trust Fund
CAB-I	Construct Antigua and Barbuda Initiative
CBO	Community Based Organisation
CC	Climate Change
CN	Concept Note
CPI	Cost Performance Index
CSO	Civil Society Organization
DAE	Direct Access Entity
DETC	Department of Economic and Technical Cooperation
DOE	Department of the Environment
DOM	Dominica
EDA	Enhanced Direct Access
EE	Executing Entity
EIA	Environmental Impact Assessment
EPMA	Environmental Protection and Management Act
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Safeguards
EV	Electric Vehicle
FA	Funded Activity
FAA	Funded Activity Agreement
FMCA	Financial Management and Capacity Assessment
FP	Focal Point
GAP	Gender Action Plan
GCF	Green Climate Fund
GDB	Grenada Development Bank
GEF	Global Environment Facility
GHLB	Government Housing Loans Board
GRD	Grenada
ICCAS	Integrated Climate Change Adaptation Strategies
IE	Interim Evaluation
INDC	Intended National Determined Contribution
iTAP	Independent Technical Advisory Panel
KIMS	Knowledge and Information Systems
LAP	Local Area Plan
LCCRDS	Low-Carbon Climate Resilient Development Strategy
LOP	Life of Project
M&E	Monitoring and Evaluation
MEPA	Marine Ecosystems Protected Areas
MOE GRD	Ministry with responsibility for the Environment, Grenada
MOW	Ministry of Works
MOF	Ministry of Finance

MOV	Means of Verification
MSME	Micro, Small, Medium Enterprises
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NCC	National Climate Change
NCCC	National Climate Change Committee
NCSC	National Climate Change Steering Committee
NDA	National Designated Authority
NDC	Nationally Determined Contribution
NGO	Nongovernmental Organization
NRDS	National Resilient Development Strategy
NSC	National Climate Change Steering Committee
NSDP	National Sustainable Development Plan
OAS	Organisation of American States
OECS	Organization of Eastern Caribbean States
PC	Project Coordinator
PS	Permanent Secretary
PIM	Project Implementation Manual
PIP	Project Implementation Period
PMC	Project Management Committee
PMU	Project Management Unit
PSIP	Public Sector Investment Project
PWDs	Persons with Disabilities
RFADRCC	Regional Framework for Achieving Development Resilient to Climate Change
RL	Revolving Loan
RFP	Request for Proposals
RDU	Rural Development Unit
SA	Subsidiary Agreement
SGP	Small Grants Programme
SIDS	Small Island Developing States
SIRFF	Sustainable Island Resource Framework Fund
SP	Service Provider
SPI	Schedule Performance Index
SPIF	SIRF Fund Project Identification Form
SPP	Sustainable Public Procurement
SV	Scheduled Variance
TA	Technical Assistance
TAA	Technical Assistance Agreement
TAC	Technical Advisory Committee
TCPI	To-Complete Performance Index
TEC	Technical Expert Committee
TOR	Terms of Reference
TS	Term Sheet
UKCIF	United Kingdom Caribbean Infrastructure Partnership Fund
USD	United States Dollars

EXECUTIVE SUMMARY

The Department of Environment in Antigua and Barbuda (DOE ATG) as the Accredited Entity (AE) to the Green Climate Fund (GCF) is implementing a 4-year regional project titled “Integrated physical adaptation and community resilience through an enhanced direct access (EDA) pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states” referred to as the “EDA Project.” The Project is funded by the GCF through a Funded Activity Agreement (FAA) signed on April 18, 2019 in the amount of twenty million United States Dollars.

The objective of the EDA Project is to strengthen institutional capacities and increase the resilience of at least 5% of the population in the Eastern Caribbean pilot countries to climate variability and change, of which 50% are women, through adaptation in infrastructure, strengthened buildings, and enhanced ecosystem services. The Project’s Executing Entities (EEs) are the DOE ATG, the Ministry of Tourism, Civil Aviation, Climate Resilience and the Environment (MOE GRD) in collaboration with the Department of Economic and Technical Cooperation (DETC) in Grenada, and the Ministry of Environment, Rural Modernisation and Kalinago Upliftment (MOE DOM) in the Commonwealth of Dominica.

The Project is now more than halfway through its implementation and in keeping with Schedule 4 of the FAA, the DOE ATG has commissioned an Interim Evaluation (IE) of the EDA Project. The purpose of the IE as outlined in the Terms of Reference (TOR) (DOE, 2021) for the activity is to assess and evaluate the progress of the Eastern Caribbean EDA Project since its inception. This report presents the main findings arising from the evaluation exercise that was based upon: (i) Evaluation criteria from the GCF Independent Evaluation Unit – GCF IEU TOR (GCF/B.06/06); (ii) Six GCF Investment Criteria; (iii) Eight GCF Strategic Results Areas; (iv) EDA Guidelines; and (v) Eastern Caribbean EDA Project Documents. The lessons learned, findings, and recommendations of the EDA Project IE are important to the range of key stakeholders in the participating countries as well as for broader project conceptualization and management.

The IE was conducted between December 2021 and April 2022 within a structured process and a defined set of associated tasks, aligned to various milestones and deliverables. To meet the requirements of the EDA Project IE TOR the IE utilized a mixed-methods approach with high value placed on understanding reasons behind performance and impact—or lack thereof—as well as lessons and recommendations for the remainder of the EDA Project and to inform GCF EDA programming. In addition, the IE, utilized a process of triangulation to facilitate validation through cross-verification. The completion of the IE was constrained by several factors that affected the timely collection and analyses of data, including: (i) The impact of the COVID-19 pandemic on travel and in-person consultations, (ii) The status of project implementation that limits data collection for some of the evaluation parameters, (iii) competing priorities/responsibilities of key stakeholders, and (iv) delays in the availability of key data and information.

Summary of Key Findings

Relevance

1. The EDA Project inclusive of its strategies, components and outputs is well aligned to advance national sustainable development priorities of the target Eastern Caribbean pilot countries of Antigua and Barbuda (ATG), Dominica (DOM), and Grenada (GRD) and is well-structured to institutionalize a transparent, decentralized decision making and financing mechanism that mobilises climate financing

to governments, and vulnerable households and communities for climate change adaptation interventions.

Effectiveness

2. The Project is severely delayed and the completion of all outstanding outputs by project closure is at risk. At the time of the IE, the Project completed 21% of the implementation activities associated with each of its outputs.
 - a. While the Project did not achieve any of the three mid-term targets for the GCF fund-level impact indicators, at the programme level, the Project met 100% of the mid-term target for Outcome Indicator 5.2, *“Number and level of effective coordination mechanisms strengthening of finance related by-laws, regulations and operational procedures.”*
 - b. For Outcome Indicators 7.1 *“Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability”* and 7.3 *“Number of vulnerable households and businesses that use Fund-supported instruments to respond to climate change and variability,”* 0.7% and 10% of the planned mid-term target was met respectively.
 - c. At the Output level, progress was reported on Indicator 1.2 *“Number of transparent sustainable financing mechanisms supporting adaptation in the OECS sub-region”* as 33% of the mid-term target for the indicator was met with the SIRF Fund becoming operational.
 - d. The Project did not achieve the mid-term target for Output Indicator 1.3 *“Number and value of physical assets made more resilient to climate variability and change, considering human benefits”* and *“Number of direct beneficiaries (disaggregated by gender) of Fund-supported small grants for adaptation to respond to climate change and variability”* due to implementation delays.
3. Despite efforts of the DOE ATG (acting as EE for Output 1) to advance implementation, activities to create or enhance three sustainable financing mechanisms, and accreditation of three Direct Access Entities (DAEs) to the GCF or the Adaptation Fund (AF) are delayed at the time of the IE. In support of mechanisms for direct access implementation oversight and transparency, though delayed, Financial Management Capacity Assessments (FMCAs) for the target countries were completed with AE review and feedback and submitted to the GCF. Through the Project’s arrangement with the OECS Commission capacity is being built and mechanisms instituted for monitoring and evaluation (M&E), learning and knowledge management and sustainable procurement.
4. Negotiations between the AE and EEs to finalise Technical Assistance Agreements (TAAs) were extensive and signing was delayed. This impeded country progress around some of the key accreditation milestones.

Efficiency

Implementation Strengths and Challenges

5. There are several strengths that the EDA Project benefits from at both the country and regional levels. The well-designed project addresses CC issues at the policy and operational levels across the three SIDS with the involvement of multiple stakeholders. Project implementation is being undertaken by knowledgeable and experienced staff and enjoys high-level ministerial endorsement. In addition, across the outputs strategies innovative strategies and approaches have been adopted.
6. The EDA Project has been marked by several implementation challenges and constraints that have resulted in significantly delayed implementation and the associated failure to achieve the expected results at mid-term. These challenges include national circumstances such as government-instituted restrictions; the COVID-19 pandemic and associated implications; capacity limitations in some project

countries, AE supervision gaps, procurement-related constraints, and poor communication across stakeholder groups.

Management and Coordination

7. The planned EDA Project institutional arrangements include a well-defined multi-level structure that provides for management and coordination, oversight, decision making and communication, to facilitate implementation and achievement of transformational results. However, project (regional, country and output level) execution has utilized variations of the structure that has shaped the state of implementation across the participating countries.
8. The management and coordination of activities and the stakeholders involved in the EDA Project varied significantly for the collective and across individual countries and is reflective of the capacity of the countries to implement the Project.
 - a. The AE's leadership of the EDA Project is well established and, in many ways, considered a strength. However, although the AE facilitates sharing of information, supports development of TORs and contracts and provide backstopping, the unresolved capacity deficiencies in the other two countries warrants continued support and handholding.
 - b. Through its annual meetings the Regional PMC has created a medium for information sharing and guidance, and highlighting lessons learned and challenges faced by countries in the implementation of EDA Project activities. The Regional PMC meetings have reflected less of a decision-making function but allows for the project coordination team to follow through on critical actions at the country level. There is little evidence of discussion on the overall project performance at the aggregate level. The ATG PMC also closely monitors the overall project and have sought to mitigate risks, in instances.
 - c. The performance of the national PMCs in providing country level oversight and guidance, facilitating interagency coordination and monitoring national-level activities varied considerably in terms of structure and characteristics and performance against the TORs.
 - d. EDA Project TACs are country-level structures that existed prior to the start of the EDA Project but whose utility has varied across countries and over the LOP.
 - e. The capacity of the PMUs for implementation of the EDA Project varies considerably, with the ATG having the most robust team. While significant effort has been made in all three countries to advance the implementation of Project activities, the completion of these is often dependent on stakeholders and actions outside of their control. Although there are provisions in the budgets for the PMUs to hire consultants to support their work, a practice utilized by ATG, there is no evidence of this being utilized by either DOM or GRD EEs. Regular monthly PMU staff reporting is evident, but project planning is not generally reflective of realistic activity and timeline setting. Validation and verification of the reports for DOM and GRD was limited and when entered into Smartsheet produced questionable implementation status of project activities.
9. Subsidiary Agreements (SAs) that define the relationship between the AE and the EEs in both DOM and GRD and outline the roles and responsibilities for the parties were prepared by the DOE and signed by the EEs. There is evidence of the AE's monitoring of the SAs, and efforts made to address SA implementation deficiencies, but regular and ongoing communication of these with the EEs was not evident. SA monitoring at the country level was also lacking.

Stakeholder and beneficiary participation

10. The EDA Project involves a diverse set of stakeholders who have been involved at different times over the LOP. Stakeholder participation ranges from information sharing to decision making and while there is evidence of stakeholder mapping regionally and nationally there is no evidence of

comprehensive targeted stakeholder engagement plans that drive the participation of stakeholders and beneficiaries. Project beneficiaries have participated in key activities and adaptive actions often employed to address their capacity limitations in an effort to increase their uptake of the range of services and meet GCF criteria.

11. The participation of local level stakeholders in vulnerable communities and local government entities in the three EDA countries is paramount to the ultimate success of the EDA Project. The activities in which they are involved are geared at building climate resilience in these identified communities, with an emphasis on participation of women and other vulnerable groups. Capacities of the line ministries and local stakeholders are understood, and efforts made to support them.
12. NDAs are important GCF agents who have been involved in EDA Project oversight but to a lesser extent in their capacity as NDA Focal Points.
13. Existing policies and procedures of key stakeholder organizations have been modified and utilized for activity implementation under the EDA project, a strong sign of country ownership.

Donor Relationships

14. During the pre-feasibility phase of the Project, the GCF worked well with the DOE and Project team, providing constructive feedback for project enhancement prior to approval of the Funded Activity (FA). The relationship between the DOE ATG as the AE and the GCF has grown significantly since the DOE's accreditation and designation as the AE for the EDA Project and throughout implementation. The GCF has worked well with the EDA Project team and recognizes the strong political support for the Project. During implementation the GCF has had ongoing and regular communication with the AE, providing feedback on documents and supporting requests made.
15. The GCF has recognized a number of critical constraints faced by the EDA Project team and has incorporated enough slack and flexibility to accommodate adjustments. The GCF has recognised the limitations posed by the COVID-19 pandemic on the Project, including the inability for the AE to travel to project countries and work with EEs and the hike in prices and availability of goods for project implementation.

Financial Management, Cost Efficiency, Cost Effectiveness

16. The Project budget was consistent with realized activity costs, even after taking inflation into account. As of December 31, 2021, actual expenditure was US\$2,331,453.79, 11.7% of the allocated GCF funding of US\$20,000,00.00, with the ATG EE accounting for 86.50% of the total spent. At IE, project expenditure was approximately five quarters behind the planned expenditure rate, primarily due to the delays in both DOM and GRD.
17. At the time of the IE, the financial management of the EDA Project was neither effective nor efficient. However, the fiduciary management employed by the AE and EEs was strong and reflected full compliance with the FAA (2019), while adhering to the AE's procurement guidelines, and where applicable, the national procurement guidelines of the respective EEs. The financial management was also ineffective due to the non-accomplishment of targeted outputs and outcomes as per FAA Schedule (2019).
18. Up to the time of the IE, the EDA Project budget in all three countries had not been spent in an efficient manner. The overall project cost incurred was US\$2,331,453.79. This far exceeded the value of work created at US\$1,725,159.23. The Cost Performance Index (CPI) was 0.74 and Cost Variance (CV) was -US\$4,341,723.01. The IE's analysis of value created over the LOP was estimated by using the aggregate spend over the LOP as a proxy ((actual spend/total amount budgeted) * planned expenditure). A CPI less than 1 and a negative CV indicates that the allocation of the EDA Project budget over the LOP was not deployed in a manner consistent with achieving the planned rate of value creation.

19. Project implementation in all three countries was inefficient. The Schedule Performance Index and the Schedule Variance (SV) both indicate that the project is significantly behind schedule, by 10 quarters.
20. The EDA Project was not cost effective as the economic cost of the project amounted to - US\$91,810,976.96, 68% of which was due to implementation delays. The planned strategies and inputs were considered realistic, appropriate, and adequate to achieve desired outcomes and outputs. However, the coordination and sequencing of planned project activities were not strategically implemented on time and within budget in order to achieve the desired results in a cost-effective manner.
21. The quantitative indicators used to evaluate the EDA Project indicate that the rate of expenditure/implementation required to complete the Project within budget and on time would need to be increased 10-fold to be consistent with the FAA. At the time of the IE, the return on investment for the EDA Project was negative. Consistent with the negative return on investment, the calculated To Complete Performance Index (TCPI) being greater than 1 is indicating that cost performance would need significant improvements in value creation over the balance of the PIP to achieve the Project objectives.
22. At the current rate of implementation, it can only be expected that project outputs and outcomes will be achieved post PIP. Accelerated implementation is required given that the earned value created by EDA project was eight quarters behind schedule and US\$13,073,840.77 less than projected as of December 2021.

Procurement

23. The EDA Project procurement processes have generally complied with the DOE's Procurement Policy, as there has been no evidence of noncompliance. Notwithstanding the efforts to successfully execute procurements across all three EDA Project countries, several challenges have impeded the efficiency and effectiveness of procurement functions, contributing to significant delays and varying stages of implementation within each project country. The challenges and delays arising from them, pose significant risk to project success, and include: delays in predecessor activities, lengthy procurement processes, national circumstances and requirements, the need for reinitiating procurements, and capacity constraints.
24. Procurement monitoring has varied across the EDA Project, with tracking of some country-level procurements by the DOE ATG, but no evidence of monitoring being undertaken at the overall EDA Project level to support full assessment of procurement execution against what was planned. Additionally, at the time of the IE, there was no evidence of procurements being monitored by the OECS Commission and limited use of the Sustainable Public Procurement system (SPP) to guide procurements as per the FAA (2019).

Risk Management

25. The risk management framework established to guide implementation of the EDA Project was found to be sound and sufficient to help to secure the expected results. The EDA Project has implemented several key risk management actions, including identifying and documenting risks and their associated mitigation measures, as well as updating the EDA Project risk register, though not at the frequency specified in the FAA (2019).
26. While the AE and EEs have tried to be responsive to risks, the IE notes several issues that have negatively impacted the efficacy of risk management actions and that have contributed to the delays experienced by the Project. These include reactive execution of risk management actions, critical project risks remaining unaddressed, inadequate high-level intervention to resolve risks as well as limited monitoring and assessment of risk management efforts at the country and overall EDA Project

levels. The gaps in risk management to date have negative repercussions for EDA Project success and sustainability.

Environmental and Social Safeguards (ESS)

27. The Environmental and Social Safeguards (ESS) Framework for the EDA Project is robust. In addition to having the requisite ESS framework in place, the Project undertook several measures to ensure ESS compliance, including embedding ESS-related clauses into the RFPs, TORs and Job Advertisements, and contracts and community consultations to educate, sensitize and address community feedback. Notwithstanding as implementation improves, the capacity of some project teams will need to be enhanced to facilitate conduct of the requisite ESS activities.

Monitoring and Evaluation

28. The EDA Project, guided by the FAA (2019) was established with a multi-layered monitoring and evaluation (M&E) framework reflective of the project components (national to local levels), the multi-country reach, monitoring, evaluation and reporting requirements, associated assessment and monitoring tools, and the supporting institutional framework required for its implementation. The M&E system defined during project conceptualization was refined at inception and had strong interconnectedness with Output 1. Institutional arrangement for M&E implementation reflects outsourcing of key functions to the OECS Commission who in turn supports the AE and EEs in executing their responsibilities. To facilitate clarity around roles and responsibilities while building country ownership of M&E tasks, the Project utilised an M&E Matrix developed by the OECS Commission.

29. Capacity for M&E implementation varied across the project countries, with significant gaps identified at inception and during M&E baseline assessment that limited the Project's ability to execute some M&E functions that was confirmed in the baseline assessment. At mid-term the Output 1 M&E related activities were only 29% completed. Training and capacity development activities were implemented to address M&E capacity gaps, while mentoring the country teams through key deliverables such as completion of the baseline assessment.

Coherence in climate finance delivery with other multilateral entities

30. Evidence from the three EDA countries highlight the coherence of the EDA Project with previous projects and other initiatives that either built supporting infrastructure, track record or piloted actions for upscaling in order to build country climate resilience. In addition, the EDA Project's focus on climate finance delivery had its genesis in a number of key developments at the international and regional levels and sought to address the limitations of climate finance capacity and infrastructure. In order to achieve this, the establishment of accredited entities within Dominica and Grenada aligns with and carries on from the Commonwealth Climate Finance Access Hub agenda, which focused on establishing climate finance capacity within ministries across participating states. The revolving loan disbursement facility forms part of a deliberate attempt by the GCF to facilitate increased access to climate financing by the most vulnerable in society.

Gender Equity

31. The IE determined that gender mainstreaming at the country-level varied and is a function of the country and organisational context and capacity. A Gender Action Plan (GAP) that outlines explicitly the mix of actions to ensure gender and social inclusion considerations are effectively integrated in project implementation, but at the time of the IE there was limited implementation of its strategies and actions. Generally, gender-sensitive and gender-disaggregated monitoring is weak in the project to-date. However, several measures were taken to facilitate the availability of gender-sensitive

monitoring data such as the modification of application forms, templates and development of tracking and reporting sheets associated with the grant and loan programmes.

Country Ownership of Projects and Programmes

32. The EDA pilot promotes country ownership of projects and programmes by empowering stakeholders with climate finance decision-making in ways that address the countries' climate needs. The successful implementation of the FA (2018) is hinged on an institutional framework that integrates decisions of service providers, a TEC, TAC and a PMC and involves a range of diverse stakeholders. The TAC in all three countries as well as the PMC in ATG, predates the Project. Service Providers were selected based on their experience with implementation of the relevant financing mechanisms, track record, existence of policies and procedures and engagement of key stakeholders. National Designated Authorities (NDAs) have been actively involved in the EDA Project from its conceptualisation to implementation, less in their capacity as NDA and more in relation to project oversight and activity implementation. Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and Service Providers (SPs) for Outputs 2, 3 and 4. However this process was extended due to deliberations with, and external to, the countries that impacted the achievements of the intended results.
33. However, at mid-term limited progress was made in several design elements and outputs of the Project that were to reflect country ownership, including the development of six transparent sustainable financing mechanisms and the accreditation of three direct access entities in the Eastern Caribbean, including for on-granting and on-lending accreditation.
34. Subsidiary Agreements with project countries document commitments to leverage resources to complement project implementation, however at mid-term this was not fully realised. Although at December 2021, the Project was 10 quarters into a 16-quarter implementation timeline, of the total co-financing budget arising from the FAA (2019) the Project generated co-financing in the amount of US\$402,270.34 or 15% of the planned sum, with the greater portion of this contributed by ATG.

Innovativeness

35. Within the EDA Project approach, innovation was used to refine strategies and products across the result areas in order to drive transformative climate change adaptation and is reflected in the provision of thought leadership, employment of technology, forging of partnerships and piloting financing mechanisms. The financing provided by the GCF through the EDA pilot provides the opportunity for replication of on-granting with CBOs, on-lending with residents and small businesses and infrastructure support through public entities.

Replication and Scalability

36. The Project is already showing indications of the potential for replication and upscaling, with the on-granting and on-lending schemes, use of project structures for stakeholder engagement, south-to-south cooperation for accreditation readiness and enhancement of planning processes within government. However, the major delays encountered, and the slow pace of implementation pose a significant threat to sustainability and the intended country-level impact. The IE is therefore unable to determine whether the proposed actions will result in significant and sustained climate finance flows for the countries in the short to medium term.
37. A missed opportunity was greater cohesion between EEs and the AE that provided additional benefit to enhance country implementation. Another is the opportunity for Antigua to replicate successful micro level climate financing for building climate resilience in the other two countries.

38. The existence of established Funds as exemplified by ATG and GRD; the track record, especially for on granting with civil society organisations; and the existence of climate change institutional structures such as NCCC are key ingredients for long-term sustainability.
39. ATG’s GCF Project Build is evidence of replication already underway.

Unexpected Results

40. There have been early reports of positive behavioural shifts in commercial lending institutions because of the project RL fund for adaptation financing which is a positive unexpected result. On the negative side, however, within the context of the country-owned approach, the perception may arise that the project, and its implementation processes and framework is politically driven.

Adaptive Management

41. There is evidence of adaptive actions taken in response to continuous changes in the development landscape, however, a proactive approach to adaptive management was not evident.

Project Rating

The overall rating of the EDA Project is *Unsatisfactory* as the IE identified major short comings that (1) affected the quality of implementation, resulting in a failure to achieve the planned targets at mid-term and (2) that threaten the successful achievement of the overall objective and expected outcomes of the Project. While the EDA Project is well-positioned to advance national priorities of the target OECS territories, in its execution, variations in country-specific context were not sufficiently accommodated for in the project strategy and timeline to mitigate for implementation stage risks. At the time of the IE the Project is severely delayed having completed 21% of the implementation activities associated with each of its outputs, and as a result, will not be able to complete all outputs within the existing timeline. The IE analysis determined that project implementation was neither cost-efficient nor cost-effective. The average Schedule Performance Index (SPI) of 5% indicates that project implementation is significantly behind schedule. The SPI for Antigua was estimated at 0.32, which was 12.78 times that for Grenada and Dominica. Cost and Schedule Variance estimates aggregated to approximately -US\$65,045,424.30, which is sufficient evidence to conclude that project resources (financial, human, and otherwise) were not utilized in an economically efficient way over the project implementation period ending December 2021. Deficiencies in the planning, sequencing, execution of procurement activities created implementation lags across all three countries. Areas of project strength include relevance, coherence in climate finance delivery, county ownership, and innovative in results areas. It is imperative that the AE work with the EEs and the Project’s donor to identify the best options that will facilitate achievement of its intended results.

Summary Rating for the EDA Project

Parameter	Grade ¹
1. Relevance, effectiveness and efficiency of projects and programmes	HU
<i>i. Relevance</i>	<i>MS</i>
<i>ii. Effectiveness</i>	<i>HU</i>
<i>iii. Efficiency</i>	<i>HU</i>
2. Coherence in climate finance delivery with other multilateral entities	S

¹ HS – Highly Satisfactory; S – Satisfactory; MS – Moderately Satisfactory; MU – Moderately Unsatisfactory; U – Unsatisfactory; HU – Highly Unsatisfactory

Parameter	Grade ¹
3. Gender Equity	MU
4. Country Ownership of Projects and Programmes	S
5. Innovativeness in Results Areas	S
6. Replication and scalability	MU
7. Unexpected results (both positive and negative)	MU
OVERALL RATING	U

Conclusion

The EDA Project has the potential to deliver concrete climate change adaptation interventions to the most vulnerable households and communities, in the Caribbean islands of ATG, DOM and GRD. Fundamental to this is the Project’s strategies, components and outputs designed to institutionalize country-level transparent, decentralized decision making and financing mechanisms that mobilise climate financing to governments, and vulnerable households and communities. Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and SPs for Outputs 2, 3 and 4. In addition, the Project is already showing indications of the potential for replication and upscaling, with the on-granting and on-lending schemes, use of project structures for stakeholder engagement, south-to-south cooperation for accreditation readiness and enhancement of planning processes within government. However, COVID–19 restrictions and lockdowns, setbacks in obtaining consensus and the necessary approvals internal and external to the countries, as well as capacity limitations have resulted in the Project’s resources (financial, human, and otherwise) not being utilised in an economically efficient manner. While the Project has taken definitive steps to meet the objective of the EDA pilot, the delays in advancing country accreditation have limited the intended devolved decision making. In addition, full evaluation of the operational modalities cannot be achieved at mid-term as this requires full country implementation of EDA project outputs, including the enactment of the necessary enabling legislation. The overall Project rating is *Unsatisfactory*, and based on the current status, there is a low likelihood of the EDA Project achieving key outputs and outcomes, and its overarching objectives within the remaining timeframe in the absence of significant country commitment and leadership and restructuring. Analysis of the current rate of expenditure is indicative of the need for it to be increased tenfold to be consistent with the FAA and within budget and on time. The TCPI, in line with the negative return on investment, indicates that cost performance would require significant improvements in value creation for the remainder of the Project in order to meet its objectives.

Recommendations

The following represents key recommendations of the IE for attention by the AE, EEs, PMCs, and the GCF.

IMMEDIATE ACTIONS

1. **Evaluate the feasibility of a no-cost extension** to meet project targets and the overall paradigm shift climate finance objective, including the need for restructuring of country programmes to accelerate stakeholder-driven implementation and continued AE oversight and supervision. Define the options based on the assessments findings that present the best-case scenarios towards successful project completion.
2. **Provide high-level project briefings** to the OECS Ministers of Environment Commission, followed by Cabinet briefing and country recommendations for decision/endorsement. Obtain high-level commitment to address country-specific bottlenecks and constraints urgently. Clearly define the role and responsibilities of the designated project champion (Minister) and their relationship with the EE and establish a routine meeting schedule for timely updates and actions.
3. **Strengthen the AE-EE relationship** through joint work planning, close oversight, supervision and support, timely communication and decision making and ongoing monitoring and reporting, inclusive of verification and validation of information provided.

INTERMEDIATE ACTIONS (POST-IE to PROJECT CLOSURE)

AE-led:

4. **Request approval from the GCF for project amendments**, including any agreed upon extension and restructuring, supported by required justifications, such as updates to the log frame, performance targets, project implementation plan and annual work plans, budgets, procurement plans, risk registers. Obtain and include NDA endorsement, and fully signed updated subsidiary agreements between the AE and EEs.
5. **Strengthen supervision of country teams** with close monitoring and support by the AE, regional PMU and ATG activity coordinators. Use the Leaders meetings to agree on corrective actions and the adjustments needed to minimise the risk of delays. Hold monthly presentations on country-level activity implementation and use these fora for sharing good practices and lessons learned.
6. **Strengthen monitoring of SAs** by both the AE and the EEs and improve communication on timelines and breaches as necessary. Use the findings of SA monitoring as a gauge for initiating corrective action or providing support where required.

EE-led:

7. **Assess the status of co-financing requirements** and determine the next steps on whether to renegotiate as well as agreement on clear strategies to achieve the commitments.
8. **Revisit stakeholder mapping exercises**, and expand the stakeholders' roles and responsibilities to include all aspect of project implementation. Design and implement engagement strategies (e.g., updates on activity plans and timelines, sensitisation on urgent pending actions) to bring visibility to issues and enhance the participation of stakeholders critical to resolving country challenges and constraints. Take deliberate steps to advocate for high-level solutions that resolve bottlenecks and accelerate implementation.

9. **Reorganise and reconstitute the PMCs**, where necessary, to allow them to more efficiently and effectively guide and take timely decisive action on key project issues and provide approvals to advance implementation. Strengthen the relationship between PMC Chairpersons, responsible Ministers and Country Coordinators that allow for regular and timely communication and action on project issues and bottlenecks.
10. **Identify and address capacity gaps** (limited manpower) and limitations (limited experience in areas such as results-based management, risk management and procurement) within the PMUs, project stakeholders and beneficiaries.
11. **Accelerate implementation of the ESMP and the GAP** to ensure environmental, gender and social inclusion considerations are adequately addressed in programme planning and implementation, addressing any capacity limitations within the EEs.
12. **Operationalise the Project's lessons learned register** and routinely document project learning to inform replication and scalability in line with the EDA Project objectives. Implement activities that create fora for knowledge sharing across EDA Project countries, regionally and with the GCF for wider dissemination.
13. **Facilitate country-led actions that institutionalise key policies, procedures and systems for directing climate finance** to vulnerable communities and people in a stakeholder-driven and programmatic approach through on-granting, on-lending and other blended climate finance mechanisms.

AE and EE-led:

14. **Facilitate integrated project planning (country and regional levels)** that harmonizes country-level planning with overall regional planning to improve alignment, strengthen country ownership and support achievement of project targets, in line with the SAs conditions. Broaden the planning process by engaging other stakeholders, including the responsible Minister, the PMC, and other implementing partners to ensure buy-in for defined activity timelines and make provisions that facilitate their input in implementation.
15. **Undertake strict monitoring and supervision of the AWP implementation** and adjust all plans on a quarterly basis, ensuring the project is deliberate in integrating environmental, social and gender considerations.
16. **Optimise use of the current reporting tools and processes for project monitoring**, expanding the existing project dashboard to include key financial indicators (e.g., SPI, CPI, budget spend rate) with monitoring by the regional PMU with established triggers for the regional PMC and AE to initiate corrective action. Activate all identified media for close communication, monitoring and supervision, including the use of Smartsheet, weekly PMU meetings, monthly project management and Leaders Meetings, monthly reporting, monthly TACs, and monthly national and regional level PMCs. Routinely include key items on meeting agendas, e.g., SAs and project conditions. Use procurement benchmarks to evaluate procurement performance as it relates to implementation and expenditure. Designate a Smartsheet that provides easy access to all forms, templates, agreements and other important documents and that reflect critical timelines and deadlines.

1 INTRODUCTION AND BACKGROUND

1.1 Background

In June 2016, the Board of the Green Climate Fund (GCF) approved a pilot phase to channel climate financing to homegrown organisations in developing countries through the Enhancing Direct Access (EDA) pilot. The EDA pilot seeks to enhance country ownership by allowing the GCF to effectively operationalize its EDA modality at the sub-national, national and regional levels and with various types of public and private entities. This includes devolved decision making in keeping with best practices for accountability, integrity, and independence, in order to enhance knowledge and ownership that will lead to more ambitious action on climate change. The pilot phase offers the GCF an opportunity to gain experience and additional insights through such an approach, with a view to establishing EDA as a standard operational modality of the Fund.

1.2 The EDA Project in the Eastern Caribbean

The Department of Environment in Antigua and Barbuda (DOE ATG) as the Accredited Entity (AE) to the GCF submitted a funding proposal (FP061) in July 2016 in response to the GCF's Request for Proposals (RFP) for the EDA pilot. The funding proposal was for a 4-year regional project titled "*Integrated physical adaptation and community resilience through an enhanced direct access pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states*" (hereinafter referred to as the "EDA Project" or the "Project"). Subsequent to the EDA Project submission in 2016, the proposal was revised and second and third submissions made in July and September 2017, respectively. The proposal was approved March 18, 2018 (FP061, 2018).

The paradigm shift objective of the EDA Project is to promote country ownership of climate adaptation actions through devolved decision making in the Government, private and Non-Governmental Organization (NGO) sectors that, through the direct access modalities in the Eastern Caribbean pilot countries, will set the foundation and framework to increase access to financing to improve resilience to climate variability of 20% of the population.

- FP061 (DOE, 2018)

On September 28, 2018, the DOE ATG as AE, and the GCF signed an Accreditation Master Agreement (AMA) as a pre-requisite for the disbursement of funds for the GCF-approved EDA project. The Project is funded by the GCF through a Funded Activity Agreement (FAA) signed on April 18, 2019 in the amount of Twenty Million United States Dollars. The objective of the Project is "to strengthen institutional capacities and increase the resilience of at least 5% of the population in the Eastern Caribbean pilot countries to climate variability and change, of which 50% are women, through adaptation in infrastructure, strengthened buildings, and enhanced ecosystem services" (FAA, 2019). The AMA (2018) executed between the DOE ATG and the GCF contains the "general terms and conditions applicable to all GCF-funded activities of the AE, including conditions precedent to disbursement, fiduciary standards, and privileges and immunities"². Following this, the FAA (2019) was executed for twenty million dollars

² <https://www.greenclimate.fund/document/accreditation-master-agreement>

distributed across four key project outputs. Under the AMA (2018) and the FAA (2019), the DOE ATG is responsible for overall management, implementation and supervision of the EDA Project. The objective, outcomes, outputs and budget for the Project have been presented in Table 1.1.

The EDA Project became effective following the signing of Subsidiary Agreements (SAs) between the DOE ATG and the Governments of Dominica and Grenada on July 3, 2019 and July 12, 2019, respectively and commenced implementation on July 16, 2019. The Project’s Executing Entities (EEs) are the DOE ATG, the Ministry with responsibility for the Environment (MOE GRD) in collaboration with the Department of Economic and Technical Cooperation (DETC) in Grenada, and the Ministry with responsibility for the Environment (MOE DOM) in the Commonwealth of Dominica. Combined, the AE and the EEs in Antigua, Dominica and Grenada form the core of the Project’s institutional structure. In order to enhance country ownership and improve alignment with national priorities, the EEs are supported by several project partners within each territory.

Table 1.1. Objective, Outcomes and Outputs and Budget for the EDA Project

OBJECTIVE	
The objective of the EDA Project is to strengthen institutional capacities and increase the resilience of at least 5% of the population in the Eastern Caribbean pilot countries to climate variability and change, of which 50% are women, through adaptation in infrastructure, strengthened buildings, and enhanced ecosystem services.	
OUTCOMES	
<ul style="list-style-type: none"> ● Outcome 1: Strengthened institutional and regulatory systems access climate finance from the GCF and other funds. ● Outcome 2: Strengthened adaptive capacity and reduced exposure to climate risks. 	
OUTPUT	APPROVED BUDGET – GCF (USD)
Output 1: Enhanced capacity for climate adaptation planning, implementation, and monitoring and evaluation via direct access.	1,020,000.00
Output 2: Governments implement concrete adaptation measures using ecosystem-based approaches where appropriate.	8,980,000.00
Output 3: Community resilience to climate impacts is enhanced through tangible adaptation benefits.	3,000,000.00
Output 4: Privately owned physical assets of vulnerable populations are more resilient to climate variability and change through concessional microfinancing.	6,000,000.00
Project Management	1,000,000.00
Total	20,000,000.00

Source: FAA (2019)

1.3 The Interim Evaluation – Purpose and Scope

The Project is now more than halfway through its implementation and in keeping with Schedule 4 of the FAA, the DOE ATG has commissioned an Interim Evaluation (IE) of the EDA Project. The purpose of the IE as outlined in the Terms of Reference (TOR) (DOE, 2021) for the activity is to assess and evaluate the progress of the Eastern Caribbean EDA Project since its inception (Box 1.1 and Annex 1). This report presents the main findings arising from the evaluation exercise that was based upon: (i) Evaluation criteria from the GCF Independent Evaluation Unit – GCF IEU TOR (GCF/B.06/06); (ii) Six GCF Investment Criteria; (iii) Eight GCF Strategic Results Areas; (iv) EDA Guidelines; and (v) Eastern Caribbean EDA Project Documents. The report includes an assessment of project performance and the likelihood of the Project

achieving its intended objectives, outcomes and impacts as defined in the TOR. The report also documents learnings; identifies areas where restructuring or changes through adaptive management in project implementation are needed; and makes evidence-based clear and focused recommendations that may be required for enhancing project implementation to deliver the expected results. The findings of this report are structured in keeping with the seven main areas of focus outlined in the TOR (Figure 1.1).

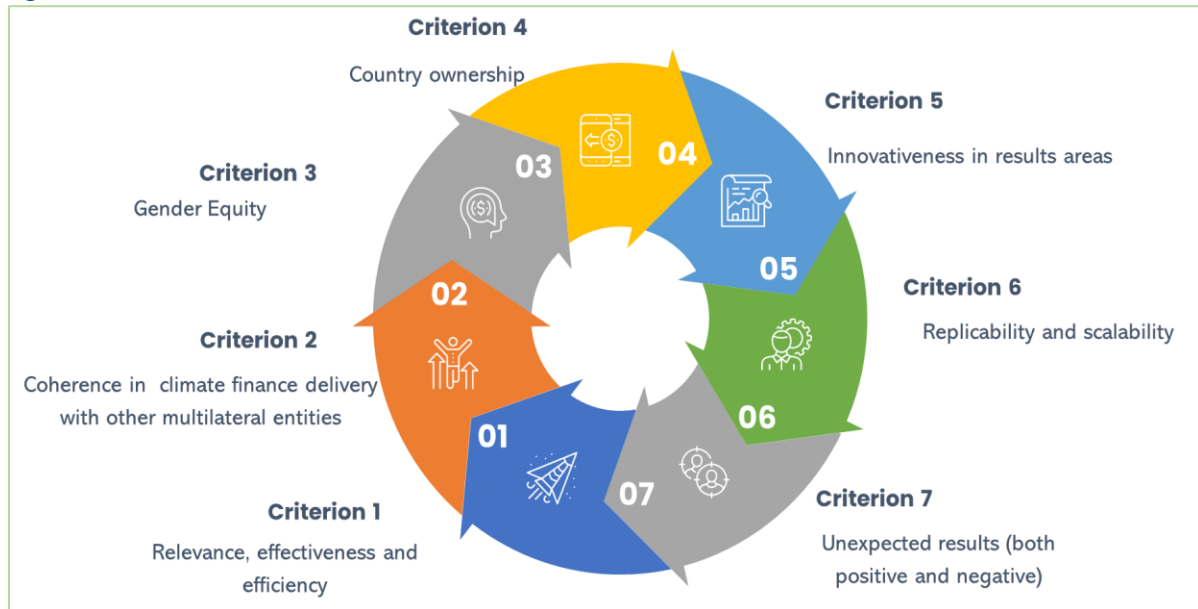
Box 1.1. Purpose of the EDA Project IE

The purpose of the IE is to assess and evaluate the progress of the Eastern Caribbean EDA Project since its inception, with an intent to apply formative evaluation¹ principles to:

- i. Determine if the project is meeting the objectives of the GCF RFP (2016).
- ii. Enable learning from the implementation experience to date that can be used to further improve implementation planning and activities, which will ensure progress towards expected results as well as assess emerging opportunities for enhancing achievements.
- iii. Assess the impact of COVID-19 on project implementation and make recommendations for potential project restructuring.
- iv. Measure the progress made towards reaching the design objective of each project output, against the planned outcome, outputs, targets, and activities as outlined in the Funding Proposal and FAA.

- TOR (DOE, 2021)

Figure 1.1. EDA IE seven main areas of focus, as outlined in the TOR for the IE



2 IE APPROACH AND METHODOLOGY

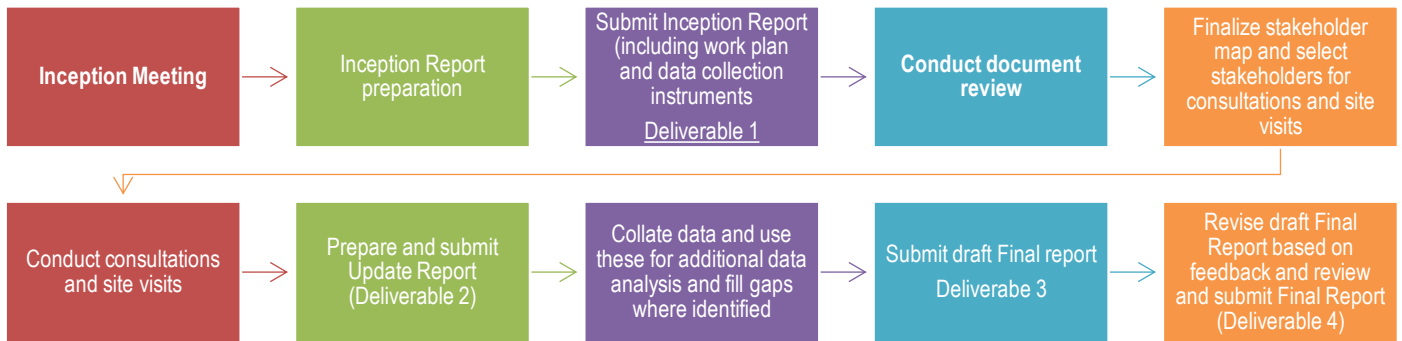
To meet the requirements of the EDA Project IE TOR the IE utilized a mixed-methods approach with high value placed on understanding reasons behind performance and impact—or lack thereof—as well as lessons and recommendations for the remainder of the EDA Project and to inform GCF EDA programming. Table 2.1 presents the IE deliverables and the associated timelines. The evaluation utilized a combination of qualitative (semi-structured interviews, surveys, and documents) and quantitative (project records) data collection methods to gather primary and secondary data. Several IE analyses, described in Table 2.2 complemented and utilized the data collected and collated.

Table 2.1. EDA Project Deliverables and Submission Timelines

Deliverable #	Deliverable Description	Deliverable Name	Proposed Revised Timelines
1	Inception Report outlining the proposed methodology and detailed work plan, and timeline for achieving the stated objectives.	Inception Report	December 22, 2021
2	Update Report on field visits, consultations, informant interviews and data collection conducted in Antigua and Barbuda, Dominica and Grenada	Update Report	February 9, 2022
3a	Draft Final Report. Submit a draft report with an executive summary and include: a detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.	Draft Final Report	March 2, 2022
3b	Validation workshop. Presentation to key stakeholders that allows for feedback on the draft report.	Validation workshop	March 16, 2022
4	Final Report. Revise the draft in response to the DOE’s comments and suggestions from relevant stakeholders along with guidance on areas of contradiction or issues requiring a response.	Final Report	April 8, 2022

The IE was conducted between December 2021 and April 2022 within a structured process and a defined set of associated tasks, aligned to various milestones and deliverables. As indicated in Step 8 of Figure 2.1 the IE involved analysis of data that utilized a number of approaches and tools as presented in Table 2.2 while Annex 2 provides the list of stakeholders consulted, who were sampled from the range of stakeholder organizations shared across the three participating countries, the OECS Commission, the GCF, and others. Stakeholders were important to the IE as the consultations allowed for appreciation of justification and reasons for specific project records, verification and explanation of documented evidence and feedback from project stakeholders were used as highlights throughout the report.

Figure 2.1. Process Flow for the EDA IE Consultancy



Due to the prevailing wave of the COVID-19 pandemic in the Caribbean at the time of the IE, in-country Missions had to be cancelled and in lieu of site-visits and face-to-face interaction, various contingency tools were applied for data capture and focused dialogue with stakeholders. In the absence of onsite visits, photographs complemented the narrative, where relevant (Figure 2.2). Due to the delays encountered in getting all required documentation for the IE, the stakeholder validation workshop was replaced by short presentations during the retreats in the countries and with the OECS Commission held between March 28 and April 4.

Figure 2.2. Key IE approaches utilized



The IE, implemented over the period December 2021 – April 2022, utilized a process of triangulation to facilitate validation through cross-verification. Mixed methods were used to corroborate findings and draw conclusions against the seven core evaluation criteria (Figure 1.1). Annex 3 provides the key evaluation questions that were administered using a combination of document review, surveys and questionnaires, and consultations to gather data and information. Documentary evidence, provided primarily through Smartsheet, included over 320 documents that were collected from a range of sources, including the AE, EEs, SPs, the GCF, project advisory and management structures, and beneficiaries. The IE primary data collection phase included multiple rounds of consultations through a process of triangulation, especially where data and information lacked clarity and were conflicting or contradictory. Consultations involved over 86 virtual meetings with individual representatives and small groups, often

with follow up meetings and emails. Meetings were held with 13 EDA beneficiaries and 8 service providers (and 1 potential SP). An online survey was administered with the Grenada Technical Evaluation Committee (TEC) for Output 3 and a meeting held with the ATG Technical Advisory Committee (TAC). The low online responses from Grenada Output 3 TEC members were supplemented with follow up meetings.

The IE produced the following deliverables: (a) an *Inception Report* that included the workplan, preliminary IE findings and draft data collection instruments; (b) an *Update Report* that provided details on the data collection phase, including the methodology utilized, consultations held, constraints experienced and next steps; (c) The *draft IE Report* that presented key findings, lessons learned and recommendations to inform the remainder of the project and provide the GCF with lessons for EDA programming; (d) *presentations to EE retreats and OECS Commission* that replaced the *Stakeholder Presentation/Validation Workshop*; and (e) the *Final IE Report*. The IE was also conducted with a focus on ethical considerations and was conducted by Dr. Alicia Hayman, lead evaluator, with support from a team of experts in financial and economic analysis, risks and procurement management and M&E.

Data and information collection was complemented by critical analyses to arrive at plausible conclusions and recommendations. Table 2.2 provides a list of key supporting analyses conducted.

Table 2.2. Key EDA Project IE analysis techniques/approaches

IE Analysis Technique / Approach	Evaluation Criteria (as per TOR)	Rationale Justification
Historical Timeline & Situational Analysis	<ul style="list-style-type: none"> • Relevance • Effectiveness • Efficiency • Coherence in climate finance delivery with other multi-lateral entities • Country ownership • Innovativeness in results areas • Replicability and scalability • Unexpected results • Sustainability 	<ul style="list-style-type: none"> • The analysis will assess the assumptions made during the preparation stage, particularly objectives and agreed upon indicators, as well as the current context of the implementation. • To assess the efforts made and the ultimate alignment of the project's strategies and activities with beneficiary needs. Conclusions will also be made on the implementation approaches used by the project. • The analysis will also inform conclusions on project preparation and readiness, alignment with national and regional policies and programmes and international treaties and obligations as well as complementarity/coherence with climate finance delivery by other multilateral entities, country ownership and sustainability, and stakeholder participation /public awareness.
Assessment/ Review of project assumptions, Project Design, Project Theory, Project Objectives and Logical Framework	<ul style="list-style-type: none"> • Relevance • Effectiveness • Country ownership 	<ul style="list-style-type: none"> • This analysis will make conclusions on whether the project's objectives and outcomes are clear and practical. The analysis will also assess EDA Project Monitoring and Evaluation (M&E) Systems, including associated data collection strategy and the role of the implementing institutions in generating and validating the project results.
Analysis of Results / EDA Project Results Framework Review	<ul style="list-style-type: none"> • Effectiveness • Sustainability • Innovativeness in results areas • Replicability and scalability • Unexpected results 	<ul style="list-style-type: none"> • This analysis will provide the status on the progress towards planned results, obtained through a review of the performance of project indicators (actual results achieved) against baseline. This will also identify early successes to highlight any opportunities for expansion of these benefits through lessons learned. • The analysis will also examine if progress so far has led to, or could in the future lead to, co-benefits that would catalyse sustainable development (i.e., income generation, gender equity, institutional capacity enhancements and improved governance).

IE Analysis Technique / Approach	Evaluation Criteria (as per TOR)	Rationale Justification
Cost Efficiency Analysis	<ul style="list-style-type: none"> • Efficiency 	<ul style="list-style-type: none"> • Quantitative indicators, such as the Schedule Performance Index (SPI) & Cost Performance Index (CPI) among others, will be used to objectively establish the efficiency of the project implementation thus far. This analysis will be guided by the Logic Framework, Annual Workplans, Annual Performance Reports, amongst others. If necessary, an analysis of budget adjustments will be done to provide an opinion on the appropriateness and relevance of such revisions. The findings will be used to make conclusions regarding the state of cost efficiency attained thus far and provide recommendations on how to improve efficiency where possible.
Financial Planning and Management Assessment	<ul style="list-style-type: none"> • Efficiency 	<ul style="list-style-type: none"> • This assessment will determine if appropriate structures and processes are in place and optimized. The analysis will examine how the management controls - resolution of implementation issues, financial management, financing and funds management controls - have facilitated project implementation and if necessary, compliance with procurement standards. The assessment will include any co-financing and leveraging analysis, if applicable. • An inflation analysis will provide closer examination of the data to establish adequacy of the budget limits adjusted for possible inflationary impacts. The objective is to estimate the cost variance up to the point of the IE. As such, cost and budget variance estimates will be utilised to assess the effectiveness and efficiency of financial planning.
<i>Risk Analysis Assessment of Sustainability of project outcomes/</i>	<ul style="list-style-type: none"> • Efficiency • Sustainability • Impact 	<ul style="list-style-type: none"> • To establish the extent to which project risk management processes, including those for environmental and social risks were employed in project implementation to ensure successful delivery of project outputs. • To assess how risks (probability and impact) and issues, which affected project implementation, or otherwise, are likely to affect sustainability of outcomes beyond project completion. • Analysis of the exit strategy along with any efforts made to date towards mainstreaming and sustaining action will be undertaken.
Institutional Analysis	<ul style="list-style-type: none"> • Effectiveness • Efficiency • Sustainability • Replicability and scalability • Unexpected results 	<ul style="list-style-type: none"> • To determine the structures and mechanisms in place for strategic and operational direction setting and decision making as part of the overall implementation approach. It will determine how well the institutional arrangements worked to achieve desired results. Also, how donor supervision and backstopping supported project execution. • Determine whether coordinating mechanisms among the project partners are successfully established and utilized and the pros and cons associated with these. This analysis will also support findings for sustainability. • The analysis will include focus on the capacity of the EEs (as against the FMCAs (2021)), to determine any further strengthening of capacity for project implementation. • The analysis will also assess the ability of project outcomes to continue to produce benefits beyond the life of the project and the institutional arrangements to catalyse impact, replication and scale-up.

IE Analysis Technique / Approach	Evaluation Criteria (as per TOR)	Rationale Justification
Impact Tracing ³ Analysis	<ul style="list-style-type: none"> • Replicability and scalability • Unexpected results 	<ul style="list-style-type: none"> • Assess the impacts of the EDA Project interventions using qualitative data. This will focus on demonstrating causal inference using in-depth analysis of the interventions. This analysis showcased evidence of the extent to which the EDA intervention’s key targeted outcomes have materialized and investigated the causal mechanisms responsible for the outcomes.

The lessons learned, findings, and recommendations of the EDA Project IE are important to the range of key stakeholders in the participating countries as well as for broader project conceptualization and management. The GCF can take lessons from this pilot for future EDA climate finance programming, and in particular for scaling up and mainstreaming. Lessons can be applied to further promote the paradigm shift towards climate resilient, low carbon development; country and regional coordination and multi-stakeholder engagement, replication and sustainability; governance standards and targeted readiness support. It also provides guidance in the area of project management and coordination.

2.1 IE Limitations and Constraints

The IE identified key constraints and challenges to efficient and effective completion of data collection.

These include:

1. The impact of the existing COVID-19 pandemic, which has resulted in some delays due to stakeholders’ unavailability at the time of scheduled meetings. This also led to modifications in the data collection strategy and key deliverables and due dates.
2. Difficulties scheduling meetings in some instances, owing to competing priorities/responsibilities of stakeholders.
3. Last minute cancellations and no-shows for scheduled meetings.
4. Multiple extended interruptions during meetings, which resulted in the need to convene follow-up sessions.
5. Poor internet connection at stakeholders’ offices.
6. Unresponsiveness of stakeholders to interview requests.
7. Inability of representatives to provide input on behalf of the stakeholder organization, due either to the gaps in available information or inability to recall specific details.
8. Failure to capture photographic records, where some beneficiaries displayed some levels of reticence to the request.
9. Use of remote interviews that limited the depth of the data collected, especially in relation to site visits.
10. The status of project implementation that limited data collection for some of the evaluation parameters.
11. Access to documents and data was sometimes limited in Smartsheet, which required email follow up by the Evaluation Team.

³ <https://idev.afdb.org/sites/default/files/documents/files/Process%20Tracing%20as%20a%20methodology%20for%20evaluating%20small%20sample%20sizes.pdf>

3 FINDINGS

3.1 Project Timeline Summary

The EDA Project officially commenced on July 16, 2019, following signing of Subsidiary Agreements (SAs) between the DOE as the AE and the representatives of the Governments of Dominica and Grenada. There was no SA between the DOE (as AE) and the DOE (as an Executing Entity for Component 1) that delineated the respective roles and responsibilities. Project start-up was slow and it was not until 2020 that these countries established their PMUs and commenced implementation. There has since been a slow pace of implementation, due to a complexity of issues and challenges. Figure 3.1 provides a summary of key project timelines early in the LOP.

Figure 3.1. Key initial EDA Project timelines



3.2 Relevance, Effectiveness and Efficiency

3.2.1 Relevance

The EDA Project responds to the threat to life, property, and economic and social wellbeing in the Eastern Caribbean pilot countries of Antigua and Barbuda, Dominica, and Grenada due to climate variability and climate-induced extremes. The EDA Project addresses the development challenge caused by the increased impacts of climate variability and climate-induced extremes on the Eastern Caribbean pilot countries of ATG, DOM, and GRD. The Project targets upgrades to infrastructure and enhanced ecosystem services. The interventions are well-aligned to address barriers to climate action such as the lack of institutional capacity for directly accessing international climate change financing within the relevant agencies, and a lack of predictable financing directly available to beneficiaries to support and complement urgent actions to adapt to climate change.

The Project, inclusive of its strategies, components and outputs, was well-positioned to institutionalise transparent, decentralised decision-making and financing mechanisms that mobilise climate financing to governments, and vulnerable households, communities and businesses in the Eastern Caribbean pilot

countries of Antigua and Barbuda, Dominica, and Grenada to build climate resilience. The Project addresses issues relating to financing for adaptation actions at the national and community levels and at landscape and individual scales for resilience building. It contributes to reducing the financing gap for adaptation as assessed in ATG's Updated Nationally Determined Contributions (NDC) (2021), Grenada's Second NDC (2020) and Dominica's Intended National Determined Contribution (INDC 2016). The rationale is that as countries improve their systems and access funds for climate resilient development, these resources will be used to create mechanisms for government implementation and on-granting and concessional on-lending directly to beneficiaries, including communities, homeowners and building owners. The concessional resources will then be used by these beneficiaries to implement changes in their communities, homes, and buildings because of this financing. There are important assumptions in this theory of change (Figure 3.2). Critically, it assumes that i) the target groups (at risk communities, homes and building owners) consider climate change and weather events to be sufficiently important to take loans for building their resilience (and consider paying interest); ii) the target groups are reached through the financing mechanisms (the targeting question); iii) once a loan is secured, the target groups spend their resources on home and building-related adaptation improvements; iv) the revolving fund will improve the overall resilience of targeted communities and possibly exert some peer pressure on others to adopt similar behaviours (impact), v) governments are willing to make changes to their systems to access funds from the GCF, and vi) countries remain committed to the adaptation initiatives that will lead to transformational change and a paradigm shift.

Box 3.1. EDA Project Theory of Change

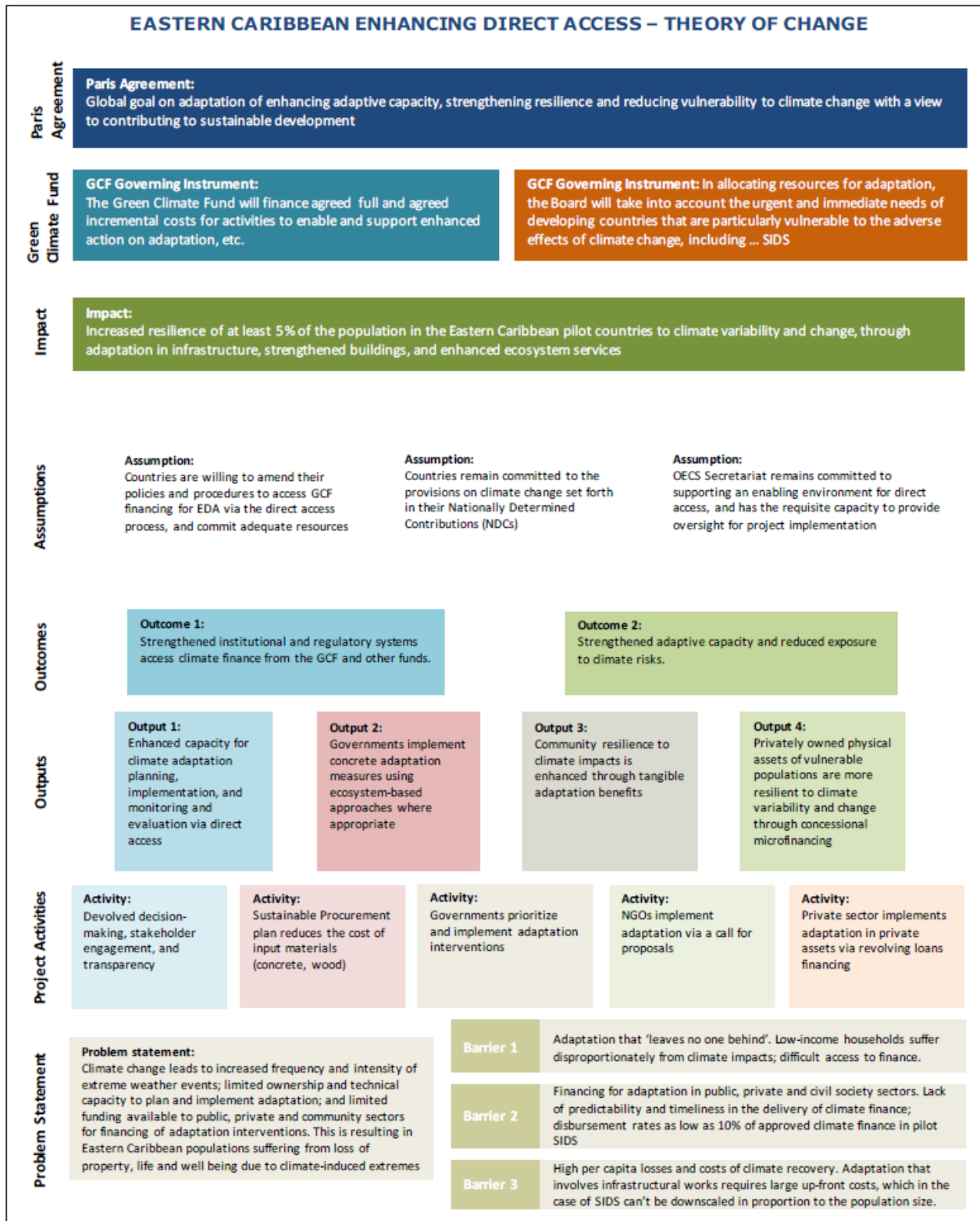
The EDA Project's theory of change, outlined in the accompanying schematic (Figure 3.2), indicates that **IF** the Eastern Caribbean pilot countries of Antigua and Barbuda, Dominica and Grenada make the needed improvements to their regulatory and institutional systems to increase the access of governments, private sector, communities and households to climate financing for implementation of adaptation measures including ecosystem-based approaches where appropriate, regardless of sex or age; **THEN** the resilience of the benefitting population to the impacts of climate change will increase **BECAUSE** governments, households and community groups have access to financing and are implementing changes that improve the infrastructure of the natural and/or built environment (communities, homes, buildings), and enhance the quality of environmental services.

The Project is well aligned to advance national priorities of the target OECs territories. In Dominica, as the country rebuilds, following the passage of Hurricane Maria, the Project is well aligned to advance priorities defined in the 2030 National Resilient Development Strategy (NRDS) and the Low-Carbon Climate Resilient Development Strategy (LCCRDS), which encapsulate the vision for a climate resilient country. In Grenada, the Project is also positioned to advance the vision for sustainable development and long-term transformation through sustainable economic, social and environmental progress and climate resilience for all as outlined in the National Sustainable Development Plan, 2020 - 2035.



Devastation caused by the impacts of Hurricane Maria on the island of Dominica, September 2017. Initial national damage was estimated as 200% of GDP. Source: FOP061 (DOE 2018)

Figure 3.2. Theory of Change for the EDA Project



Source: FP061 (2018)

Figure 3.3. Alignment with National Laws, Policies and Regulations

ANTIGUA	GRENADA	DOMINICA
<ul style="list-style-type: none"> › The revised Environmental Protection and Management Act 2019 (EPMA) to include the SIRF Fund › SIRF Fund Climate Change Adaptation Window Regulations (2020) › The National Climate Change Policy Strategy and Action Plan › the Environment Protection and Management (Paris Agreement) Regulations 2017 › United Nations Framework Convention on Climate’s Paris Agreement 2015 › National Energy Policy (2011) › Sustainable Energy Action Plan (2013) › The Nationally Determined Contribution (NDC) 	<ul style="list-style-type: none"> › Paris Climate Change Agreement › Revised Building Code for Grenada › Draft National Land Use Policy › National Disaster Plan 2011 › The National Climate Change Policy for Grenada, Carriacou and Petite Martinique › The National Climate Change Adaptation Plan (NAP) for Grenada, Carriacou and Petite Martinique 	<ul style="list-style-type: none"> › Climate Change, Environment and Natural Resource Management Bill 2016 › National Land Use Policy, 2015 › Low-Carbon Climate Resilient Development Strategy 2012 › National Climate Change Adaptation Policy 2002

The Project is well-structured to deliver concrete adaptation interventions with tangible outputs that work cohesively to achieve its Objective. Output 1 will operationalize and strengthen direct access modalities in each of the small island pilot countries to strengthen financial institutions, promote openness, transparency, and country ownership of climate adaptation actions across sectors and scales (national, community and individual). Output 2 will demonstrate enhanced direct access in the public sector through an on-granting mechanism that aligns GCF-financed concrete local area adaptation projects to climate proof ongoing investments and co-financing from the Government. Output 3 will demonstrate enhanced direct access for CSOs and NGOs through an on-granting mechanism for adaptation in community buildings that promotes resilience to droughts, floods, and hurricanes. Output 4 will demonstrate enhanced direct access in the private sector through a concessional on-lending revolving loan programme for adaptation in buildings (homes and small businesses).

While the Project is relevant, variations in country-specific context were not sufficiently accommodated for in its timeline, that has since emerged as implementation stage risks. Pre-feasibility studies were conducted in ATG, DOM, and GRD, along with a scoping study undertaken in collaboration with the OECS Commission. These studies assessed existing arrangements and identified priority actions with their outputs that were included in the development of the GCF EDA Project application. However, the feasibility assessments did not adequately account for the differing states of readiness reflective of variations in country implementation processes, mechanisms, and capacity and the time needed to meet the required conditionalities to access financing. These were also not found to be adequately addressed in the initial risk assessment.

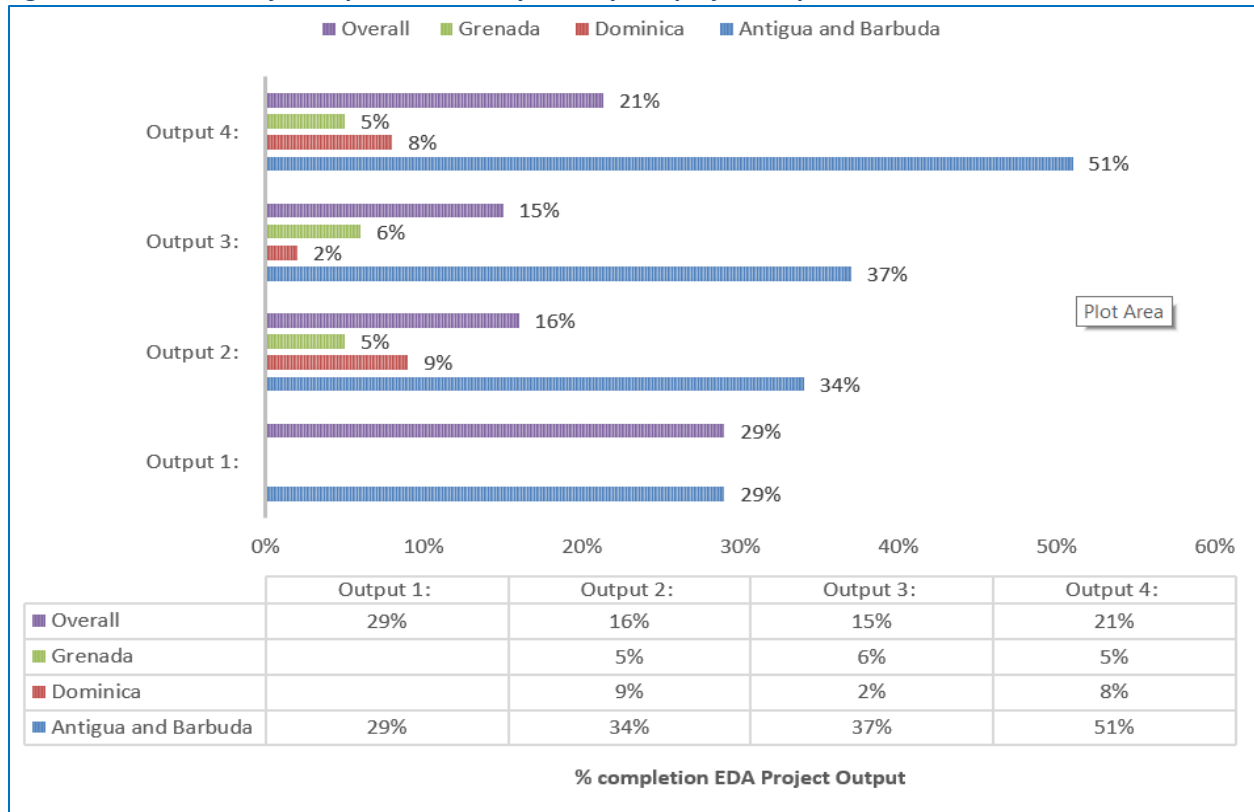
3.2.2 Effectiveness

The EDA Project is severely delayed and completion of all outputs by project closure is at risk. At mid-term the Project completed 21%⁴ of the implementation activities associated with each of the Project’s

⁴ As reported on the Annual Performance Report 2021.

outputs. Output 1 activities were reported as being 29% complete, Output 2- 16%, Output 3 – 15% and Output 4 – 21%. ATG reported an approximate 12-month delay for Output 1 activities related to accreditation support to the entities in GRD and DOM, and an approximate 7-month delay in activities for Outputs 2 – 4. For GRD and DOM, the significant delays in advancing project implementation for Outputs 1 – 4 have resulted in an estimated 18-month delay in overall implementation (Figure 3.4). The Project reported to the GCF that it was at risk of not meeting its milestones and objectives in GRD, and to a lesser extent DOM (APR 2021).

Figure 3.4. Status of Project Implementation by country and project outputs



Source: APR 2021

Output 1

Despite efforts by the DOE ATG (acting as EE for Output 1) to advance implementation, plans to create or enhance three sustainable financing mechanisms and accreditation of three DAEs to the GCF or AF are delayed at mid-term. An approximate 12-month delay was reported in Output 1 activities related to accreditation support to the entities in Grenada and Dominica. This is reflective of delays in the nomination of the entities seeking GCF accreditation to which Technical Assistance (TA) support would be provided. At the time of the IE DOM formally identified the MOE DOM as the national entity for accreditation. GRD formally identified two national entities, the MOF GRD, and the MOE GRD, for accreditation and submitted formal notification to the DOE ATG to nominate the MOE GRD for accreditation. At the time of the IE the OECS Commission submitted its accreditation application and is awaiting GCF response.

Technical Assistance Agreements (TAAs) drafted by the DOE ATG for review and signing with MOE DOM and MOE GRD were only being finalised at the time of the IE, resulting in significantly delayed TA delivery. In April 2021, the DOE ATG drafted and shared⁵ TAAs for each of the project countries that define the relationship and areas of collaboration with TA *beneficiary entities* for Output 1 implementation. Anticipated areas of TA delivery include capacity needs assessment and gap analysis, establishment of project oversight mechanisms, completion of accreditation checklists, training and awareness building on accreditation, and the documentation of project lessons learned. The EEs highlighted that they received the draft TAAs in December 2021 for a January 15, 2022 turnaround⁶. During that time there was an option to utilise an MOU and documents had to be reviewed by the respective Legal Departments and concerns addressed. Notwithstanding, the DOE ATG provided limited technical assistance to MOE DOM, MOE GRD and the OECS Commission to advance accreditation, including access to manual and other documents. Consequently, both countries have since signed and returned the TAAs to the DOE. The IE did not receive copies of the requested fully signed TAAs.

In support of mechanisms for direct access implementation oversight and transparency, completed Financial Management Capacity Assessments (FMCAs) for the target countries were submitted to the GCF following DOE ATG review and feedback. In addition to awareness building and sensitisation DOE ATG provided limited TA in the areas of accreditation sensitisation and support for the completion of FMCAs. Completed FMCAs were reviewed by DOE ATG, highlighting several areas for strengthening including gaps in environmental and procurement legislation, government financial accounting and audit systems, and capacity gaps and limitations in entities seeking accreditation, along with recommendations for addressing the gaps. Completed FMCAs were submitted to the GCF, and project countries await a response. The results of the FMCAs allowed for the project countries to begin to receive their disbursements. TA was also provided to Grenada to support Readiness for the NDA, but implementation has not yet begun. The purpose of the readiness is to assist Grenada to supplement the funds from Output 1 to assist its two entities to become accredited.

Through the Project's contractual arrangement with the OECS Commission capacity is being built and mechanisms instituted for M&E, learning and knowledge management and sustainable procurement. For the implementation of Output 1, DOE ATG finalized an agreement with the OECS Commission to develop policy documents, design a *Sustainable Procurement System* for construction materials, support accreditation of direct access entities, to perform monitoring and evaluation activities and promote learning, as well as execute the final project evaluations. A Knowledge and Information Systems (KIMS) Needs Assessment and Gap Analysis was completed for the OECS Commission and is ready to be deployed in project countries. Work is underway to develop the KIM framework and a guideline manual on KIM for organisations wishing to be accrediting, with internal training of project staff to support KIM implementation. In addition, a gender-sensitive communication strategy and plan has been drafted for the Project that once finalised will move into implementation in 2022. Training and webinar sessions were held by the OECS Commission through UNEP and the Organisation of American States (OAS). The OECS M&E Consultant conducted various training sessions in M&E that facilitated the development of the M&E

⁵ Smartsheet contains a template posted December 2020, but the draft TAAs sent to the countries are not contained there. Consultations revealed that draft TAAs were provided to the countries in April 2021 (DBL 2022) and minutes of the first regional PMC held that month also highlight presentation of an overview of the technical assistance being offered and that a formal TAA was to be signed by the countries.

⁶ This is a likely consequence of loss of institutional memory, especially with various levels of staff turnover.

matrix that was updated to include the ESMP, the Logical Framework and the Risk Register. A status assessment of the legal framework for sustainable public procurement in the three pilot countries was conducted, and a Market Readiness Analysis of Sustainable Construction Materials was prepared identifying key construction products (lumber and concrete blocks) and provided recommendations for the inclusion of sustainability considerations of these products in the public tendering process. The OECS Model Policy on Sustainable Public Procurement of Construction Materials, action plans for each project country as well as procurement guidelines were also produced. Knowledge dissemination and capacity building activities included a three-part webinar series focused on the Caribbean region entitled “Shaping the Future through Sustainable Public Procurement.” In addition, Grenada project staff and some 22 public officials completed an 8-week course in Sustainable Public Procurement offered by the OAS School of Governance Virtual Classroom.

Output 2

In *Antigua*, a Term Sheet (TS) was signed with the Ministry of Finance – PSIP Unit, and a letter of Collaboration with Ministry of Works for capital projects to facilitate component activities. Up to 5,500 residents are now benefiting directly from clearing of the Cashew Hill Watershed drains and the environs, in preparation for construction activities for flood mitigation infrastructure funded by the public sector grants. In *Grenada*, a TS between the MOE and the PSIP was developed but unsigned. In addition, a Capacity Assessment of the PSIP was completed by the DOE and the report was submitted to the MOE GRD. One PSIP project was identified on the Sister Isle of Carriacou and approved by the National Climate Change Committee (NCCC). The project concept is now undergoing further development to full proposal. In *Dominica*, the TS/Agreement between the PSIP and the MoE was signed by MoE and the Ministry of Economic Affairs now the Ministry of Planning, *Economic* Development, Climate Resilience, Sustainable Development and Renewable Energy. In addition, a Capacity Assessment of the PSIP Unit within the Ministry of Economic Affairs was completed by the DOE and the report submitted to the MOE.

Output 3

In *ATG*, four community-based organisations were approved to receive grant funding for the improvement of communal buildings for use as shelters and community centres. Each facility is expected to benefit between 1,000 to 1,500 community residents annually. Public awareness and training activities have commenced. Training has been provided in the areas of shelter management, climate change adaptation and waterway management, and grant writing. In *DOM* Cabinet approved the GEF-Small Grants Programme (SGP) as the SP for Output 3 that facilitated the signing of an Agreement between the MOE and GEF-SGP in October 2021 and the component’s launch in December 2021. A Call for Proposal was issued, and 32 applications received to date and was reviewed by the SGP’s NSC during the week of March 8. In addition, an on-granting manual was completed and approved by the PMC. In *GRD*, the SP contract were signed with the Rural Development Unit of the Ministry of Finance. In addition, a Call for Summary Proposals was launched that resulted in 23 concepts being submitted for consideration. In February these were screened and 18 CNs sent to a NCCC sub-committee for evaluation, scoring and ranking.

Output 4

In *ATG*, Term Sheets, which establish the relationship and responsibilities between the DOE ATG and the SIRFF, were signed and the process of issuing loans through the revolving fund has commenced. Data disaggregated by gender was collected to inform monitoring of the progress towards the target of 50% women. A combination of market and climate change studies, as well as the experience from the AF project in McKinnon's Watershed has identified that approximately 100 households and up to 15 small businesses will benefit from the initiative. In *DOM* the Cabinet had previously approved the Government

Housing Loans Board (GHLB) as Service Provider (SP) for Component 4, however there is need to address restrictions in the legislation that prevent the GHLB from providing service to the private sector. The Project worked with the GHLB to convert paper-based application forms to fillable versions that facilitate electronic completion. The on-lending manual and investment guide were also prepared and submitted to the DOE ATG for review. In early March 2022, a meeting was held by MOE with the Prime Minister and Minister of Finance to discuss a possible solution on this matter and a request was submitted thereafter by the Prime Minister to the Attorney General for urgent legal advice accordingly. In GRD the SA with the Grenada Development Bank is now fully signed, following all reviews. Plans are underway for the Launch, with in-person consultations.

GCF fund-level impact indicators

The project did not achieve any of the three mid-term targets for the GCF fund-level impact indicators.

Table 3.1 provides data on progress with the Fund-level impact indicators. For Indicator 1.1 *Number of males and females benefiting from the adoption of diversified, climate – resilient livelihood options* the Project achieved 1% of its planned target as its efforts in ATG benefitted 76 persons (38 males and 38 females), through training in Shelter Management, Practical Grant Proposal Writing and Climate Change Adaptation & Waterway Management. In addition, 18 residential loan agreements were signed for loans for climate adaptation with 12 females and 4 males. No data was generated for the other project countries for indicator 1.1. For Indicator 3.1 *Number and Value of physical assets made more resilient to climate variability and change, considering human benefits (reported where applicable)* there was no reported data for this indicator based on the status of project implementation in the target countries. For Indicator 4.2 *Coverage/scale of ecosystems protected and strengthened in response to climate variability and change* there was no reported data for this indicator based on the status of project implementation in the target countries

Table 3.1. Update on Fund-Level Impact Indicators

Fund-level impact indicators (Adaptation)	Baseline	Current value (at mid-term)	Target (mid-term)	% Achieved	Target (final)
Adaptation Core Indicator Direct Beneficiaries 1.1 Number of males and females benefiting from the adoption of diversified, climate – resilient livelihood options	Total direct beneficiaries (% of female) 155 males 340 females	Total direct beneficiaries (% of female) 38 males 38 females	Total direct beneficiaries (% of female) 7,000 males 7,000 females	1%	Total direct beneficiaries (% of female) 15,650 males 15,650 females
Adaptation Core Indicator Indirect Beneficiaries 3.1 Number and Value of physical assets made more resilient to climate variability and change, considering human benefits (reported where applicable)	Total indirect beneficiaries (% of female) \$0	Total indirect beneficiaries (% of female) \$0	Total indirect beneficiaries (% of female) \$17 M	0%	Total indirect beneficiaries (% of female) \$25 M
Adaptation Impact Indicator 2 4.2 Coverage/scale of ecosystems protected and	0 hectares	0 hectares	30 hectares	0%	45 hectares

Fund-level impact indicators (Adaptation)	Baseline	Current value (at mid-term)	Target (mid-term)	% Achieved	Target (final)
strengthened in response to climate variability and change					

Project/Programme indicators

At the programme level, the Project met 100% of the mid-term target for Outcome Indicator 5.2, “Number and level of effective coordination mechanisms strengthening of finance related by-laws, regulations and operational procedures.” This achievement reflects ATG’s efforts to repeal its Environmental Protection and Management Act (2015) replacing it with the EPMA (2019). The numbers reported also include the completion of the EPMA (2019) that facilitated the implementation of the SIRFF Fund (SIRFF) Board, which became fully functional in October 2019 to oversee disbursement and monitoring of the grant and loan applications. In addition, the SIRFF Board Regulations were approved in August 2020, allowing the Fund to begin programming loans.

For Outcome Indicators 7.1 “Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability” and 7.3 “Number of vulnerable households and businesses that use Fund-supported instruments to respond to climate change and variability,” 0.7% and 10% of the planned mid-term target was met respectively. For Indicator 7.1, 41 of an estimated 6,600 fund-supported tools, instruments, strategies, and activities to respond to climate variability and change were used by households and businesses to build their resilience to climate change. For Indicator 7.3, 20 loan agreements were signed of the 200 loans planned, disbursing funds to 18 households and 2 businesses for the installation of drainage improvement, installation of hurricane shutters, energy efficiency appliances and installations, and water harvesting and storage.

At the Output level, progress was reported on Indicator 1.2 “Number of transparent sustainable financing mechanisms supporting adaptation in the OECS sub-region” as 33% of the mid-term target for the indicator was met with the SIRFF Fund becoming operational. The SIRFF was established in ATG under section 91(1) of the Environmental Protection and Management Act (2019) to provide adequate and sustainable financing for the implementation of multilateral environmental agreements. Its Board was also established under section 94(1). The mechanism became operation once the Terms of Engagement was finalized with the SIRFF Board, and the Revolving Loan Programme launched with a Call for Application commenced programming loans in 2021.

The Project did not achieve the mid-term target for Output Indicator 1.3 “Number and value of physical assets made more resilient to climate variability and change, considering human benefits” and “Number of direct beneficiaries (disaggregated by gender) of Fund-supported small grants for adaptation to respond to climate change and variability” due to implementation delays. ATG has successfully executed a US\$ 3 million award to the Ministry of Works by the PSIP and final designs, technical feasibility studies and planning approval applications are underway. In addition, community consultations have been completed, and awareness increased within the community.

Table 3.2. Update on Programme Level Indicators

Project/Programme indicators (Mitigation/Adaptation)	Baseline	Current value	Target (mid-term)	% of Target	Target (final)
Indicator 1 (Output level) (e.g. Wind power generation plant commissioned) 5.2 Number and level of effective coordination mechanisms strengthening of finance related by-laws, regulations and operational procedures	0 effective coordination mechanisms	3 effective coordination mechanisms	3 effective coordination mechanisms	100%	6 effective coordination mechanisms
7.1: Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability. Households: disaggregated by male-headed and female-headed	0 direct beneficiaries	41 direct beneficiaries	6,600 direct beneficiaries	0.7%	13,200 direct beneficiaries
Indicator 1.2 Number of transparent sustainable financing mechanisms supporting adaptation in the OECS sub-region	0	1 funding mechanism	3 funding mechanisms	33%	6 funding mechanisms
Indicator 1.3, etc. Number and value of physical assets made more resilient to climate variability and change, considering human benefits Coverage/scale of ecosystems protected and strengthened in response to climate variability and change	0 physical assets \$0 value of physical assets 0 hectares of ecosystems protected and strengthened	0 physical assets \$0 value of physical assets 0 hectares of ecosystems protected and strengthened	\$17 value of physical assets 30 hectares of ecosystems protected and strengthened	0%	\$25 M value of physical assets 45 hectares of ecosystems services protected and strengthened
Indicator 2 (Outcome level) (Mitigation/Adaptation) 7.2 Number of direct beneficiaries (disaggregated by gender) of Fund-supported small grants for adaptation to respond to climate change and variability	0 small grants	0 small grants	30 small grants	0%	60 small grants
Indicator 2 (Output level) 7.3 Number of vulnerable households and businesses that use Fund-supported instruments	54 loans for climate adaptation	20 loans for climate adaptation	At least 200 small grants (150 households;	10%	At least 400 small grants (300

Project/Programme indicators (Mitigation/Adaptation)	Baseline	Current value	Target (mid-term)	% of Target	Target (final)
to respond to climate change and variability (Households: disaggregated by male-headed and female-headed)			50 businesses) 50% are female-headed homes or businesses		households; 100 businesses) 50% are female-headed homes or businesses

Box 3.2. Country Status Narrative - Antigua and Barbuda

Overall implementation status reported as 38% (APR ,2021) with combined Accredited Entity (AE) and Executing entity (EE) expenditure totalling \$US 2.02 million representing (86.5% of the total project expenditure). For EDA Project activities where Antigua serves as EE, implementation is delayed but the country programme is positioned to accelerate based on the status of key components, especially for Outputs 2 to 4.

An approximate 12-month delay was reported in Output 1 activities related to accreditation support to the entities in Grenada and Dominica. This is reflective of delays in the nomination of the entities seeking GCF accreditation to which TA support would be provided. At the time of the IE Dominica formally identified the Ministry of Environment Dominica (MOE DOM) as the national entity for accreditation. Grenada formally identified two national entities the Ministry of Finance, Grenada (MOF GRD) and the Environment Division for accreditation and submitted formal notification to nominate the Ministry with responsibility for the Environment (MOE GRD) for accreditation to the DOE ATG. At mid-term the OECS Commission submitted its accreditation application and is awaiting GCF response.

Towards the implementation of concrete adaptation measures under Output 2, a TS was executed with the MOF ATG in April 2021 and capacity building for PSIP is underway. The MOW in ATG was awarded the public sector grants to implement flood mitigation interventions in the Cashew Hill sub-watershed after the launch of public sector competitive process and a rigorous evaluation and approval process by the PSIP Development Committee. The Project 1 involve Watercourse Infrastructure Rehabilitation and Project 2 involve Ecosystem Based Adaptation (EbA). Some work, involving the cleaning of the waterway on Project 1 has started although full proposal development is still underway, and no work has commenced for Project 2. ESIA and ESMP were completed, and technical designs being finalised at the time of the IE.

For Output 3 efforts to build community resilience, SIRRF was engaged as Service Provider for Antigua's adaptation grants and a TS signed in June 2021. At the time of the IE, four grant proposals totalling US\$892,400 were approved for award following TAC review in October 2021 and PMC approval through *Resolution #6/10-2021* and agreements signed with four CBOs in February 2022. The grant award process involved a call for concept notes (CN) issued after the launch of the grants programme in April 2021, and an extension of the submission deadline to June 2021 to facilitate CBOs whose submissions were delayed to the COVID-19 pandemic. Of the seven CNs received, four CBOs were invited to submit full grant proposals. Groups were supported with proposal development grants of US\$5000 and other TA by the DOE ATG staff that was appreciated by the grantees. Capacity building for CBOs included grant writing (April 22, 2021, May 27, 2021), shelter management (April 26, 27, 2021), climate change adaptation, and waterway management workshop (April 28, 2021). Public awareness campaign activities including development and distribution of fact sheets and brochures, interviews in mainstream media, and Arbor Day activities. Total amount of grant funding approved at the time of the IE is US\$873,000.

Efforts to make microfinancing available to households and businesses advanced with the selection of the SIRF Fund as the Output 4 service provider and the signing of the TS between DOE and SIRFF Board in June 2021. The Investment Manual was also developed in September 2020 and the Revolving Loan Programme (RLP) launched with a Call for Applications in October 2021 however, receipt of applications was delayed as the SIRFF streamlined

its processes to move the application process online (due to the spike in local Covid-19 cases). At the time of the IE 44 loan applications were approved of which 20 loans were issued totalling US\$758,878, benefitting 18 households (13 female and 5 males) and 2 businesses to date. Loans were issued to build hurricane resilience with the installation of Hurricane Shutters, Hurricane Clips, and Roof Stabilization, facilitate renewable energy installations and improve water harvesting and storage for drought mitigation.

Box 3.3. Country Status Narrative - Dominica

Overall implementation status reported as 6% (APR 2021) having expended a total of \$US 157,063 (6.7% of the total project expenditure). Project activities for all EDA Project outputs are delayed in Dominica.

Towards Output 1, a Cabinet Paper was developed in October 2021 and revised in February 2022 to support MOE as the nominated EDA entity to receive accreditation support. The FMCA for MOE DOM which commenced in 2019 was completed and submitted to the GCF in June 2021 and is a major milestone. Previously, in July 2019 the Cabinet approved the MOF DOM to be nominated for accreditation (after the 2018 FA approval) in line with the opinion of the NDA National Coordinator, while the project named the MOE DOM. The MOE DOM nomination has not been endorsed by the NDA Focal Point. The TA drafted by DOE ATG in November 2020 has been reviewed and after some delays, there is strong possibility for signing at the time of the IE. Concurrently, EDA Project staff as well as that of the MOF DOM were trained/sensitized on the issue of Sustainable Public Procurement (SPP) through webinars and participated in an online course on the subject matter. Staff received training in Monitoring and Evaluation (M&E) and were able to assist the OECS Consultants in obtaining baseline figures for various aspects of the project. A Capacity Assessment of the PSIP Unit within the Ministry of Economic Affairs in Dominica was completed by the DOE ATG and the report submitted to the MOE DOM.

Output 2 activities included a Call for Proposals, issued by Dominica's PSIP, inviting Line Ministries to redevelop/improved project concepts addressing EDA criteria. Seven concept notes (CNs) were received, of which four were shortlisted following review by a sub-committee of NCCC members, and three capital projects approved. The approved CNs include Project 1 - Strengthening of National Forests and Watersheds Resilience, Project 2 - Drains and Culverts from Pointe Mitchel to Soufriere, and Project 3 - Disaster Risk Management (DRM) - Re-introduction of Vetiver Grass Barriers as an Ecosystem Based Approach in further enhancing the resilience of the agricultural sector. The Development of full proposals is in progress. The TOR to complete the ESIA, ESMP, and the GAP was advertised with a January 31, 2022 deadline however no responses were received.

To facilitate Output 3 implementation, the DOE ATG was granted Cabinet approval (Decision # 0189) in February 2021 to implement the on-granting programme through MOE DOM in partnership with the GEF SGP. The implementation arrangement involves the SGP serving as the service provider working closely with the applicants to complete the required forms, while DOE DOM will disburse the funds. The Letter of Collaboration was signed by the PS MOE DOM in August 2021 and by the GEF SGP on October 4, 2021, followed by an official launch in December 2021. The GEF SGP National Steering Committee will act as the TEC (see Sep 2020 list), the PMC will provide approval of the grants awarded.

The implementation of Output 4 activities requires Cabinet approval of a SP to serve as the on-lending entity responsible for the revolving loan programme and its execution, that process in Dominica which commenced in 2020 is still pending a final Cabinet decision. The GHLB's legal team however conveyed limitations in their legislation to offer services to the private sector as according to their regulations they are only allowed to manage the revolving loans for homes. The Draft TS and investment guide have been prepared. In September 2021 the Acting Attorney General provided approval for the GHLB as the on-lending SP, and a submission made to

Dominica's Cabinet for their approval as the on-lending SP. The Cabinet Paper to move ahead with GHLB was subsequently withdrawn and not approved.

Box 3.4. Country Status Narrative - Grenada

Overall implementation status reported as 5% (APR 2021) at the time of the IE with expenditure totalling \$US 57,763 representing 6.8% of the total project expenditure. Project activities for all EDA Project components are delayed in Grenada.

Towards Output 1, a Cabinet Conclusion dated November 20, 2017, approved designation of Environment Division as DAE in order for GRD to participate in EDA. Following the approval of the project however, there has been conflicting viewpoints on whether accreditation should be done for the MOF GRD as well as the MOE DOM. Several meetings were held between October and December 2021 to discuss the way forward and a decision taken to go ahead with the Environment Division to be nominated as the AE. A cabinet submission has been prepared and will be submitted. To facilitate the delivery of technical assistance to the nominated entity, a TA agreement was prepared outlining the areas of support to be provided by DOE ATG. It is expected that the DOE will provide the necessary interventions for capacity building and determination of gaps to be addressed in preparation for the accreditation. Further to than an MOU was also developed as an alternative to the TA agreement, however Grenada's legal affairs department has stated that the Technical Assistance Agreement is the preferred agreement with the DOE ATG and steps are being taken to go forward with this. MOE GRD has now signed the TA agreement and it is now with MOF DOM. The FMCA for the MOE DOM, which commenced in 2019, was completed and submitted to the GCF in June 2021 and is a major milestone for MOE GRD. M&E capacity building was conducted through the technical assistance arrangement with the OECS Commission as well as training in Smart Sheet. Linked to the public awareness activities associated with Output 1, the charging port for the EV has been installed by the Ministry of Infrastructure. The EV is charged and operational. Branding of the vehicle is in progress and PR will be done for its launch by the MOE DOM.

Output 2 activities remain significantly delayed. The capacity assessment for the PSIP was conducted and a TS finalised with the MOF for the PSIP. One PSIP project was identified on the Sister Isle of Carriacou and approved by the National Climate Change Committee (NCCC) for the Lauriston Point Rehabilitation and Restoration Project. The project concept is now undergoing further development to full proposal. TOR for services to develop full proposal was also being finalised at the time of the IE.

For Output 3, Legal Affairs gave feedback on the Rural Development Unit (RDU), a department of the MOF GRD with track record in implementing community-based projects, as SP. Due diligence on the RDU was completed in September 2021, and a Partnership Agreement signed between MOE GRD and the RDU in September 2021. The PA outlines the role of an evaluation committee, NCCC and PMC from review to recommendation and approval of grants based on GCF criteria. Following a Call for Proposals issued over October 15-November 15, 2021, 23 CNs were received by the RDU. The RDU will utilize the grants manual of the Climate Change Adaptation Fund (of the ED) tailored to the GCF EDA with approval from the PMC through Resolution #14 tabled in July 2021. A meeting was held with applicants to explain the process post submission of the CN. The evaluation of the CNs by the TEC was conducted in February 2022 to select 17 CNs for further review by the Technical Advisory Committee (TAC). Recommendation for 5-6 projects will go to the PMC for approval to issue invitations to prepare full grant proposals followed.

For Output 4, the GDB signed a Subsidiary Agreement with MOE GRD and MOF GRD in February 2022 making them the SP for the on-lending activities of the Project. This followed the completion of the due diligence procedures in September 2020, and the finalisation of the TS in November 2020. The adaptation options and borrower's manual were completed on January 8, 2022.

3.2.3 Efficiency

3.2.3.1 Implementation Strengths and Challenges

Strengths

There are several strengths that the EDA Project benefits from at both the country and regional levels. The well-designed Project addresses climate change issues at the policy and operational levels across the three SIDS with the involvement of multiple stakeholders. Additionally, the Project is being undertaken by knowledgeable and experienced staff and has received high-level ministerial endorsement. Implementation strengths include the following:

1. **Strong project design** that seeks to create additionality and transformative change in building climate resilience in SIDS.
2. **Knowledgeable DOE SIRFF staff and experienced SIRFF Board Chair.** An experienced ATG team that has previously utilized established processes and procedures with a track record of implementation of climate finance mechanisms and providing support for other countries in the GCF accreditation process. ATG has a range of country-level track record in PSIP, on-granting and on-lending.
3. **High level commitment at the Ministerial level.** The OECS Ministers of the Environment Council have endorsed the Project. The Project is also endorsed by Cabinet in the three countries.
4. **Experienced GCF Focal Point within the AE,** to guide the project teams and ensure the schedules of the FAA are utilized and adhered to and also facilitates communication with the GCF.
5. **Strong project alignment with country climate change policies and plans.** In all three countries there is strong evidence of alignment of project objectives and activities with the respective NCC policies and plans, other national development strategies, sector plans and national and local level climate change vulnerability assessments.
6. **The Project benefits from high levels of country ownership** including:
 - Existence of established NCC Funds that support on-granting and on-lending that advances climate finance flows to vulnerable communities and businesses.
 - All three countries have options for SP entities who have institutional structures in place with multistakeholder participation. The SPs have a track record of providing financing to microlevel beneficiaries.
 - Complementarity between the EDA Project and other past and current projects in all three countries. Previously implemented projects provide systems and procedures for EDA activity implementation or provide important lessons and good practices that support replication and scalability.
 - Pooling of country resources to supplement EDA Project resources e.g., in Grenada the DETC of the Ministry of Finance has provided significant support to the project with additional oversight and day to day supervision of the PMU while assisting with overall administration and project management.

7. **Good relationship between the three participating countries.** There is evidence of other ongoing projects between countries and the AE is well-respected by the subsidiary countries.
8. **The TACs are multi-stakeholder bodies that were in existence before the EDA Project's implementation.** They provide for interagency collaboration and cooperation, help to create synergies with agency's plans and programs and add complementary resources.
9. **Innovative Climate Financing product** that targets the most vulnerable communities and community members.

Challenges

The EDA Project has been marked by several challenges and constraints that have resulted in significantly delayed implementation and the associated failure to achieve the expected results at mid-term. These challenges include national circumstances such as government-instituted restrictions; the COVID-19 pandemic and its attendant implications; capacity limitations in some project countries, AE supervision gaps, procurement-related constraints, and poor communication across stakeholder groups.

1. **National circumstances, including government restrictions and requirements that slowed implementation of activities:**
 - Country- specific economic /fiscal regulations introduced additional complexity such as in DOM and GRD where the hiring of project staff needed to be approved by Cabinet.
 - Changes in environment portfolio governance in DOM and GRD resulted in delays in implementation due to transitioning, sensitization needs, and reduced focused attention on the Project.
 - The passing of new environmental legislation essential to the implementation of the Project activities in DOM and GRD is progressing at a very slow pace.
 - Capacity issues in government ministries in Dominica delayed concept note submissions for Component 2.
 - There was a difficulty in finding PSIP projects already approved by Cabinet that met GCF requirements in Grenada.
 - Government reshuffles and changes to Ministries in Grenada and Dominica resulted in significant delays due to the various transitions and loss in institutional memory.
2. **Procurement-related Constraints, which significantly impacted implementation.** These include limited or no response to advertised procurement opportunities in some instances such as the ESIA consultancy under Output 2 in DOM and capacity constraints.
3. **Staffing related constraints.** Critical staffing positions went unoccupied for longer periods than anticipated.
 - PMUs have been affected by extended gaps in personnel resulting in project setbacks and delays. GRD's PMU went 7 months without a CC after the initial CC had left the post.
 - Changes in project teams resulted in interruptions and delays to project activity implementation.
 - Delays in recruitment of specialist consultants at the OECS Commission for project management and M&E.
4. **The COVID-19 pandemic.** The pandemic impacted the ability for inter-island travel especially by the AE and also affected project staff and partners and their families, resulting in delays. During the pandemic period the Project faced increased cost of shipping and travel to the islands. The need for diversion of funds to deal with COVID-19 issues in the countries also impacted their ability to meet co-financing contributions.

5. **Instances of poor documentation and communication of decisions between and to Project stakeholders giving rise to lack of clarity.** Examples include:
 - The Project Communication Strategy and Plan was only completed in 2022 and specifically targets the general public. There was no available plan for engagement of other key stakeholders, regionally or at the country level.
 - Project related meetings not appropriately and adequately documented e.g.; Leaders Meetings are not minuted.
 - Project Implementation Manuals (required as per the SA conditions) were incomplete at the time of the IE, with required information absent.
 - Not all updated documents could be located in the Smartsheet resulting in incompleteness of information and making it difficult to track steps and progress
 - No documentation of discussion against the SAs from available country and regional PMC minutes.
6. **Slow implementation pace by all countries**, resulting in incomplete outcomes within expected timelines and causing ongoing disbursement delays.
7. **Delays in the completion of the FMCAs** and their review that resulted in setback in disbursements to DOM and GRD.
8. **Weaknesses in institutional structures:**
 - Poor attendance at PMC meetings e.g., in GRD.
 - Irregular regional PMC meetings that are more focused on information sharing.
 - Linkages between PMU and PMC and with ministerial level weak, slowing the decision making and approval processes.

3.2.3.2 Management and Coordination

The management and coordination of activities and the stakeholders involved in the EDA Project varied significantly for the collective and across individual countries and is reflective of the capacity of the countries to implement the Project. According to Clause 8 of the AMA (2018), the AE is responsible for the overall management, implementation, and supervision of the FA in line with its own internal rules, policies and procedures, including managing and administering the use of GCF Proceeds, as well as the monitoring, evaluation and reporting responsibilities set out in the FA (2018) and the FAA (2019). The AE also has a role to play in the selection of EEs with the requisite capacity to implement the FA (AMA 2018). During the pre-feasibility phase, capacity assessments⁷ were completed for all three EDA countries for implementation of the Project, which found that ATG benefitted from comparatively strong existing technical, financial and human capacity when compared to the other two countries. Further to this, the initial FMCAs⁸ completed for both DOM and GRD in June 2021, were indicative of strong financial management systems for both countries⁹ but identified areas for continued strengthening to include comprehensive environmental legislation, limited capacity for the project management unit and internal

⁷ ATG undated; DOM March 21, 2017; Grenada March 31, 2017.

⁸ June 7, 2021, 11 months after Project effectiveness.

⁹ According to a letter from the AE to the GCF on September 20, 2021, the findings of the FMCAs were adequate to allow for disbursements up to US\$500,000.00 directly to designated project accounts in DOM and GRD, based on the annual budgets and procurement plans approved by their respective PMCs (DOE 2021).

audit functions (FMCA, 2021). IE data suggest continued deficiencies in capacity in both countries that include extended delays in the enactment of comprehensive environmental legislation, human resource capacity in the PMUs and PMC and TAC weaknesses. Political and governance changes resulting in a Cabinet reshuffle and multiple movement of the environment portfolio in the two countries, as well as the need for Ministerial signoff and Cabinet approvals for all project hiring decisions and the naming of project committees have been significant bottlenecks in the advancement of project activities in these two countries. Evidence from the IE indicated that the AE has, throughout implementation, provided management and coordination support through ongoing communication via Leaders and regional PMC meetings, WhatsApp group, use of Smartsheet, development and training on guides and manuals, drafting TORs and contracts and ongoing negotiations with the GCF as project risks are identified. However, meetings were not always followed with formal documentation and next steps, and templates and manuals were not readily accessible though were provided upon request. “Pairing” of ATG activity coordinators with those of the other two countries was good in theory but did not allow for direct communication in actuality.

Country-level management and coordination varied considerably across all three EDA countries and was a function of both established structures and processes and ongoing changes within the countries. ATG’s structures and processes are well established and provide a good practice for EDA projects and the experience gathered by the ATG DOE team augurs well for the regional project implementation. Although the ATG implementation has been delayed, the activities are well advanced for achieving country level outputs. A strong EE with support from the AE has been a significant factor in ATG’s relative success. Further to this, the relationship between the DOE, its PS and Minister, the SIRF Fund Board and the TAC, have also contributed to project achievement to date. The well-established environmental legislation has provided the overarching framework and its regulations operationalised climate financing delivery through project activities. Stakeholder engagement proved to be positive even during the COVID-19 pandemic e.g. continued virtual meetings of the PMC and TAC to allow for advancement of activity implementation and proactive communication with Output 3 and 4 beneficiaries. In contrast, in DOM and GRD, governance arrangements and processes were critical factors that affected their efficiency of implementation and in instances significantly delayed project activities beyond the expected deadlines e.g., decisions on hiring Project staff had to be approved by the Cabinet whereas this did not apply for ATG. The effective engagement of stakeholders was impacted by communication and coordination gaps e.g., work with the Legal Affairs/Attorney General’s office. Implementing partners capacity deficiencies were identified early but timely interventions to address these inefficiencies were not implemented. For example, DOM’s PSIP Unit and GRD’s Legal Affairs Office did not have sufficient human resource capacity to perform project tasks in a timely manner, despite project budgetary provisions being made annually to support such capacity enhancement, as was accessed by the PSIP Unit. In both countries line ministries identified for PSIP projects also had limited capacity to prepare project documents and although an adaptive action was taken by the PMUs to support these, it resulted in significant addition to the workload of the small teams. In addition to these, loss of institutional memory and lengthy onboarding processes e.g., the transitions of GRD CC and DOM PS/PMC Chair, have not been smooth and untimely completion of project processes e.g., the opening of GRD’s project bank account in 2022, the selection of the GRD’s Component 3 TEC team and the completion of project contracts have contributed to the ongoing delays and inefficiencies in the project. The COVID-19 pandemic which resulted in lockdowns, inability to hold face-to-face meetings and work from home protocols, also constrained stakeholder engagement across the countries to different degrees.

Project supervision was undertaken at various levels but could have benefitted from closer guidance and oversight from the AE especially for the respective country projects. Further to Clause 8 of the AMA (2018), IE analysis of pre-feasibility documents noted the Independent Technical Advisory Panel’s (iTAP’s) documentation of the need for having an integral [integrated] vision of climate resilience that ensures effectiveness of reconstruction efforts and that investments are climate proofed (Point 35). In Point 36, iTAP also highlighted the relative deficiencies in the institutions in both DOM and GRD and indicated that their enhancement was expected in Year 1 of the Project. Point 36 also stated that the implementation capacities in each of these institutions would be enhanced through handholding and capacity building. Both DOM and GRD have indicated gaps in support in the areas of risk management, communication, financial matters, performance of institutional structures and general sharing of templates and experience with the implementation of project activities. The “pairing” of ATG activity coordinators with those of the other two countries has resulted in limited cross sharing. The IE also finds that verification and validation of data submitted via reports and Smartsheet records have been inconsistent leading to inaccuracies. The Project has an overall PC and ATG has Output coordinators. Consultations reveal that the PC uses a range of communication channels with implementing partners, but since the third PC came on board, some channels have been affected, largely by the COVID-19 pandemic that curtailed travel to the countries. Responses and feedback from the PC are sometimes delayed, which also impact the timelines of activities. IE data collection also revealed that the PC holds technical assistance sessions with the key EDA partners, including the OECS Commission and the EEs. The EDA Evaluation Smartsheet information further describes the support to include regular WhatsApp communication, and Leaders meetings have been ongoing with the EEs in both DOM and GRD as well as the OECS Commission. Other DOE team members, such as those from procurement, M&E, grants and communications have also had engagements with regional counterparts and provided technical assistance.

The AE and ATG teams were expected to work closely with the teams from the other two countries, especially in preparation for and implementation of the Outputs but this did not materialize as expected.

The face-to-face interaction between the PC and the counterparts has been limited, in large part due to the COVID-19 pandemic. At the time of the IE, there was an ATG visit to DOM, GRD and the OECS Commission, the first since the pandemic. During these meetings, the PC and supporting ATG team made advances in some areas (Box 3.5). However, the country teams felt there is still much to be done and support will need to be ongoing. The next steps have not yet been defined and follow through will be imperative. Crucial areas for attention include risk management, follow up with Procurement and Accounting Units, functioning of the PMCs, financial matters and the various agreements and the support to the activity coordinators. Importantly, during the sessions, the AE pledged support to DOM to advance the passing of its environmental legislation, which is a condition for the third project disbursement.

Box 3.5. Key advances made during the ATG Mission March -April 2022

- Discussion on the importance of the SAs and FAA and the respective obligations
- Conditions precedent to the 3rd disbursement from the GCF
- Role and composition of PMCs
- Monitoring and evaluation follow on
- Success stories from ATG
- Sharing Templates and implementation strategies
- Sessions on effective communication and stakeholder engagement
- Matters surrounding disbursements

The planned EDA Project institutional arrangements include a well-defined multi-level structure that provides for management and coordination, oversight, decision making and communication, to facilitate implementation and achievement of transformational results. However, project (regional,

country and output level) execution has utilized variations of the structure that has shaped the state of implementation across the participating countries. Annex 4 provides the defined institutional structure for the Project. The ATG DOE is both the AE and EE for Output 1. Outputs 2-4 are implemented by EEs in all three countries and use SPs for management and administration of the activities, while Output 5 is led by the EEs in each country, inclusive of a PMU, TAC and PMC (Table 3.3). Reference is also made to Annex 5, which provides a summary analysis of the performance of the various institutional structures for the Project.

Table 3.3. Institutional structures for the EDA Project

Accredited Entity (DOE)			
Regional PMC			
Description of structure	Antigua & Barbuda	Dominica	Grenada
National Oversight Committee (multi-stakeholder)	ATG PMC (having overall steering committee functions to monitor project activities in Dominica and Grenada using a SIDS mentoring approach to build capacity for direct access while ensuring that the decentralized project activities meet GCF criteria)	Dominica PMC	Grenada PMC
Technical Advisory Committee	ATG's Technical Advisory Committee	Dominica's National Climate Change Steering Committee (NCCSC)	Grenada's National Climate Change Committee (NCCC)
Overall Executing Entity	Department of Environment (Same as AE)	Ministry of Environment, Rural Modernisation and Kalinago Upliftment (MOE DOM)	Ministry of Tourism, Civil Aviation, Climate Resilience and the Environment (MOE GRD) and the Ministry of Finance, Planning, Economic Development and Physical Development (MOF GRD)
Service Provider for Output 1	Department of Environment (EE) and OECS Commission		
Service Provider for Output 2	Ministry of Finance and Ministry of Works	Ministry of Planning, Economic Development, Climate Resilience, Sustainable Development and Renewable Energy	Ministry of Carriacou and Petite Martinique Affairs
Service Provider for Output 3	Sustainable Island Resource Framework Fund (SIRF Fund)	National GEF Small Grants Programme	Rural Development Unit
Service Provider for Output 4	Sustainable Island Resource Framework Fund (SIRF Fund)	Undecided ¹⁰	Grenada Development Bank

¹⁰ Government Housing Loans Board under consideration since 2020 and at the time of the IE a decision had not been taken.

Accredited Entity (DOE)			
Regional PMC			
Description of structure	Antigua & Barbuda	Dominica	Grenada
PMU	10-member technical team with support from other DOE staff in operations, KIMS, procurement, contracts, asset management, ESS and Gender and other volunteers and interns and consultants	3-member team (Country Coordinator, Technical Officer and Project Officer)	Four-member team (Country Coordinator, 2 Technical Officers and Project Officer), with support from the DETC, MoF

Performance of EDA Project Institutional Structures

Through its annual meetings the Regional PMC has created a medium for information sharing and guidance, and highlighting lessons learned and challenges faced by countries in the implementation of EDA Project activities. The PMC has reflected less of a decision-making function but allows for the project coordination team to follow through on critical actions at the country level. There is little evidence of discussion on the overall project performance at the aggregate level. The ATG PMC serves as the overall Steering Committee for the Project, with an aim to monitor and mentor the National PMCs (ATG 2021). The ATG PMC invites the Chair of the national PMCs, PMU staff and other key stakeholders as well as the OECS Commission, to attend its meetings (virtually) when EDA sub-regional agenda items are being considered. There have been two¹¹ meetings of the regional PMC over the LOP. These meetings have provided an overview of the Project and implementation status of the outputs. The agenda allows the PMUs to present on the progress of the respective country projects followed by questions and general discussion. The meetings offer suggestions to address constraints and issues discussed and lessons learned are captured but generally there is little evidence of decisions being taken. However, post meetings there has been follow-up by the Project Coordinator on outstanding actions needed to be undertaken by the EEs, especially in relation to the requirements against the SAs (DOE ATG 2021)¹². Further to this the ATG PMC in its own meetings monitors and deliberates on overall project performance and, in instances, takes decisions that mitigate against project risk.

Table 3.4. PMC Meeting Status for EDA Countries

PMC Type	Regional	National ATG	National Dominica	National Grenada
Planned Frequency of meetings (as per TOR)		Annually	Monthly	Monthly
Actual	2 meetings (April 2021, December 2, 2021)	Monthly since start of project (this structure has been operational prior to the project)	4 meetings (Dec 17, 2020, April 15, 2021, July 21, 2021; February 23, 2022)	10 meetings (Jan 9, 2020, Aug. 20, 2020, Sep 11, 2020; Nov. 12, 2020, Jan 28, 2021, May 27, 2021, July 8, 2021, Sep 30, 2021,

¹¹ April 27, 2021, and December 2, 2021.

¹² Letters dispatched to Dominica and Grenada after the April 2021 regional PMC meeting that highlighted outstanding issues for actioning by the EEs based on the presentations made against the respective SAs.

PMC Type	Regional	National ATG	National Dominica	National Grenada
				Nov 25, 2021, Feb 17, 2022)
Functions	Informational, guidance	Decision making, approvals	Decision making, approvals	Decision making, approvals

The performance of the national PMCs in providing country level oversight and guidance, facilitating interagency coordination and monitoring national-level activities varied considerably in terms of structure and characteristics and performance against the TORs. PMCs have varied significantly in their composition, frequency of meetings and discussion points. The PMCs are to be composed of representatives of key sectors and institutions to ensure the project fits within local, national, and international needs. Generally, all PMCs comprise representatives of key sectors and institutions, largely with an interest or responsibility for aspects of the Project. The ATG PMC existed pre-EDA Project and provides oversight for a range of DOE projects. Although the TORs state annual meetings, this committee meets monthly, and more frequently if necessary. Irregular PMC meetings with no established schedule are not reflective of synchronization with the planned work programme, and this significantly impacts smooth implementation. Table 3.4 highlights the infrequency of DOM PMC meetings, although in its first meeting, the Project Coordinator emphasized the need for monthly meetings for resolutions to be passed. The DOM PMC meets to discuss project activities and their progress, but there is little focus on the capacity gaps for implementation and management of project risks. GRD PMC has been challenged to get a quorum for meetings, given the low attendance levels by its membership, and has resorted to round robin for key discussions and resolutions. Review of documents suggests major lag times and significant delays for high level decisions for both countries. In contrast the regular meetings of the ATG PMC allow for the members to be kept abreast of the Project’s progress and to facilitate adaptive actions. These meetings also allow for greater efficiency with approvals and agreements, supported by devolution of authority for approvals from Ministerial level to the PMC. Analysis of PMC resolutions¹³ across the three countries indicate the range of project management and technical decisions being made and reflect the progress made on the Project at the country level (Annex 6). However, for both DOM and GRD there is no evidence that the PMCs, with support from their PMUs, have been monitoring implementation against the SAs.

EDA Project TACs are country-level structures that existed prior to the start of the EDA Project but whose utility has varied across countries and over the LOP. EDA TACs are expected to provide technical advice and guidance, policy input, create synergies and provide recommendations to the PMUs and PMCs as necessary. In ATG, the TAC is a multi-agency structure that meets regularly and has had presentations from the EDA Project team at five of its monthly meetings. It has focused so far on the on-granting component of the Project. Consultations with the ATG TAC for this IE (Feb 2022) highlighted the benefits of the TAC to include provision of advice through its diverse membership, identification of opportunities for collaboration and issues within the Project’s geographic area and facilitating contact with potential beneficiaries. ATG TAC members noted that there was however a need for greater synergies among projects to maximize benefits (Pers. Comm. Feb 2022). In both DOM and GRD, the TAC is the National

¹³ These resolutions were produced by the respective PMUs but often the IE found conflicting information contained within them, in terms of the dates made and wording of the resolution. It is not clear whether these formed a comprehensive list.

Climate Change Committee (NCCC), but meetings have either been infrequent or not held. The Senior Technical Officer in the MOE revealed that the DOM NCCSC, established in 2000 and reconstituted in 2009 is being revamped to become more purposeful, an integral process that still remains incomplete (Hunter, Pers. Comm. Feb 2022). GRD NCCC has been in existence prior to 2010. Its members are well aware of the NAP and other initiatives and so can provide solid technical advice to the Project. With the recent submissions of Concept Notes (CN) for the on-granting component, a GRD NCCC sub-committee was convened February 15-16, 2022, to review the short list of 17 of the 23 CNs in order to recommend 5 for proposal development grants, but this process was only completed in April 2022 and now awaits approval by the GRD PMC.

Table 3.5. EDA Project Technical Advisory Committee performance

TAC	National ATG	National DOM	National GRD
Planned frequency of meetings	Monthly	Monthly during the first 6 months and quarterly thereafter	Monthly
Actual frequency of meetings	Monthly with EDA project Output 3 presentations and discussions at 5 meetings	Three meetings held (NCCSC being revamped to be more purposeful)	No meetings held to date on the EDA Project

The capacity of the PMUs for the EDA Project varies considerably, but significant effort has been made in all three countries to advance the implementation of Project activities. Both DOM and GRD PMUs were established for the Project, while the ATG PMU was already established and complemented by partner agencies, consultants and trainee volunteers inclusive of specialized engineers to address elements of Outputs 2-4. Although there are no clear lines of demarcation that define the DOE as AE versus EE, the PMU has multiple staff assigned to each Output with an overall activity coordinator. In contrast, the PMUs in DOM and GRD are made up of a very small staff complement comprising a Country Coordinator, Technical Officer¹⁴ and a Project Officer who along with their activity responsibilities lead on Procurement, M&E, Communications and Stakeholder Engagement. The PMUs in both DOM and GRD have been overextended, often carrying out a range of tasks in order to advance activities. In DOM, the PMU has worked directly with the line ministries to complete the project proposals for Output 2, where capacity was found to be limited, while a similar practice was done for Output 3 in GRD. Neither of these PMUs have utilized the services of external consultants for which provision is made in the project budget. In both countries the MOE has had significant downsizing in recent years, and consequently have very little support to offer to the PMUs. In GRD, the head of the Environment Division provides direct support to Component 3 while the joint Project Manager, DETC, MOF, who is also GRD’s NDA focal point, provides oversight for Components 2 and 4 and more broadly for the entire project. The MOF, acting as joint project manager for GRD, undertakes financial management and procurement functions and provides additional support from their staff to project implementation.

Regular monthly PMU staff reporting was evident across all three countries, but the quality of the reporting varied in consistency. Validation and verification of the reports for DOM and GRD was limited and when entered into Smartsheet produced questionable implementation status of project activities. The ATG PMU is supervised by members of the DOE team who provide oversight and monitor activity progress. The PC supervises the CCs for both DOM and GRD, and accepts their monthly reports, while the

¹⁴ Grenada has two Technical Officers.

PC has devolved the in-country PMU staff supervision to the respective CCs. Although there is ongoing communication between the PC and CCs there was no evidence of formal feedback on the monthly reports. The necessary verification and validation processes are not clear to the IE. For example, Smartsheet calculated implementation status for GRD at 43% in contrast to the 48% reported by the CC as at April 6, 2022. Further IE triangulation revealed that activity status was way below those figures reported e.g., with only completion of screening of CNs, the 50% completion for Output 3 reported is dubious when assessed against the established steps for achievement of Output 3.

The EDA Project utilises multi-level project planning, with AWP developed by the Project Coordination Team and country AWP developed by PMUs both for sign off and approval by the PMCs. Over the LOP, country AWP for both DOM and GRD were generally not reflective of realistic activity and timeline setting. AWP are developed by the PMUs and submitted to the PMCs for approval but there is no evidence of joint project planning with the AE. Similarly, no documentation was provided for the IE that defined the AWP process, and how implementing partners and other key stakeholders were engaged to build ownership of the tasks for implementation. Both DOM and GRD CCs have indicated that the PMUs develop the country AWP based on what is required to be undertaken/achieved under each output and seek advice to complete the activities planning. In the planning process, they hold meetings/discussions, seek clarification, information, advice and copies of documents from DoE to assist in the process. Notwithstanding the process described, there were serious deficiencies in the AWP where they failed to capture the constraints and lag time associated with implementing partners and high-level decision making. Additionally, there are some activities that have been lagging for an extended period of time, such as the decision for selection of a service provider for Output 4 in DOM, which has been ongoing since 2020. Similarly, the process to finalize the GDB as SP for Component 4 in GRD also took a protracted timeframe and was only recently concluded to commence implementation of the GRD RL activity. There was also no evidence of close scrutiny of the AWP by the DOM and GRD PMCs, the NDAs and also at the Ministerial levels to ensure their respective roles and responsibilities for implementation were adopted and ownership realized. A Project Supervision Plan was shared for the IE but did not define those with responsibility for supervising each task.

Smartsheet is the established project management tool of choice for the EDA Project, but the IE found that it was not always updated in a timely manner resulting in incompleteness of information, making it difficult to track steps and progress. Smartsheet was expected to be used by all project team members to share on project progress and plans. However, the extent of information provided in the Smartsheets varied significantly, making tracking of progress sometimes difficult. ATG Output 3 implementation was well documented in the Smartsheet, where each step was clearly articulated and associated documents were readily available. This provided clarity on the activity as well as a quick snapshot of the status of implementation. This good practice serves as a useful guide for the other two EDA countries. In contrast, similar and other activities in DOM and GRD were not appropriately and adequately documented and clarity on discussions and agreements found wanting. The difficulty encountered in tracking activities in Smartsheet resulted in further consultations with country teams to better understand the status of implementation.

Subsidiary Agreements that define the relationship between the AE and the EEs in both DOM and GRD and outline the roles and responsibilities for the parties were prepared by the DOE and signed by the EEs. There is evidence of the AE's monitoring of the SAs, and efforts made to address SA implementation deficiencies, but regular and ongoing communication of these with the EEs was not evident. SA monitoring at the country level was also lacking. SAs form the basis through which the obligations of the

AE and the DOM and GRD EEs, as outlined in the AMA (2018) and FAA (2019), are carried out. SAs are binding documents with specific conditions to which disbursements are tied, that are also a function of the EEs' capacity. Annex 5 highlights elements of performance of the EEs against the SA conditions. In July 2021, letters were dispatched to the EEs indicating outstanding issues based on project updates provided at the first regional PMC meeting held in April 2021. There is also evidence that during the latter months of 2021, the AE's monitoring of the implementation of the SAs resulted in escalation of the issues to the ATG Cabinet (in November 2021), where concern was expressed regarding the pace of implementation in DOM and GRD (Box 3.6). At that time, draft letters were prepared for communication to the EEs on the need for accelerated implementation and compliance, but these were never dispatched. Other attempts at addressing non-compliance against SA obligations included a ministerial meeting at COP 26 and follow up regional PMC discussions as well as formal expression of effort to address outstanding issues by the GRD PS/PMC Chair. Although the country implementation plans reflect key activities and milestones contained within the SAs, there is no evidence of regular and ongoing monitoring of the clauses of the SAs by the EEs and the need for urgency in attending to the obligations, especially those that are conditions to GCF disbursements. One requirement of the SAs was the completion of the country Project Implementation Manuals (PIMs) and although plans, TORs and other documents were provided upon request, the PIMs for DOM and GRD were incomplete at the time of the IE. There was no evidence of reminders from the AE to the EEs for these documents and their updates. Similarly, despite the environmental bill stipulation in Section 4.01 (i)¹⁵ of the SAs, there has been limited communication that emphasizes the need for their completion and it was not until the ATG Mission in April 2022 to DOM that dialogue was held on the matter and the AE offering support to advance the activity.

¹⁵ Delivery to the Accredited Entity evidence of the Cabinet endorsement of the Funded Activity, and its decision to build necessary capacity for implementation, including where appropriate any enabling legal environment.

Box 3.6. AE Records of Monitoring of SAs

- The ATG team utilized the SAs to provide guidance to the EEs on a regular basis. The DOE also has a full-time team member to track the SAs, FAA and the AMA (Mr. Michai Robertson) that the ATG team consults internally.
- The AE has also conducted the following regular monitoring activities:
 - Numerous meetings and calls between the EDA Regional Project Coordinator and the in-country Project Teams and host country NDAs and EEs on the SAs, including:
 - 24th Sept. 2021 EDA Regional Meeting
 - 06th Oct. 2021 OECS/DOE Communication Plan Meeting
 - 12th Oct 2021 Mid-term Evaluation Preparation
 - 19th Oct 2021 EDA Dominica Smartsheet Update
 - 30th Nov 2021 GDA EDA Meeting With DOE ATG (Ministerial Bilateral Meeting)
 - 2nd Dec 2021 GCF EDA Sub-regional Meeting
 - 3rd Dec 2021 Discussions On PSIP Concept Note - EDA GDA
 - 6th Dec 2021 Follow-up Meeting With GDA
 - 20th Dec 2021 OECS Contract Review Discussion
 - 21st Dec 2021 Accreditation And GDA Readiness Discussion
 - 23rd Dec 2021 Meeting With DOM EDA Team & GEF SGP Representative
 - 12th Jan 2022 EDA DOM Progress Update
 - 12th Jan 2022 EDA GDA Progress Update
 - 13th Jan 2022 EDA OECS Progress Update
 - 25th Jan 2022 EDA Communication Meeting - DOE & OECS Commission
 - 28th Jan 2022 GCF Readiness GRD Update
 - 31st Jan 2022 EDA Leaders End Of Month Meeting Progress Update
 - 04th & 14th Feb 2022 EDA Communication Meeting
 - 7th March 2022 EDA Team Leaders Meeting
 - Missions to DOM and GRD by the AE in May 2019 to build capacity with the EEs and negotiate the SAs.
 - Extension of offers to host country NDAs for the development of supplementary Readiness Support to enhance the EEs capacities for implementation of the EDA Project in 2019. DOM did not respond to this request. GRD responded and the AE developed a Readiness Support project based on the indication from the GRD NDA. GRD's Readiness Support Project was approved in December 2019
 - Official calls and written communications on Project implementation issues in August 2020 between the AE team and the in-country Project Teams and host country NDAs
- Presentations by the AE team on the legal responsibilities and compliance under the SAs, especially the conditions as well as other implementation matters at the Regional PMC Meetings in March 2021.

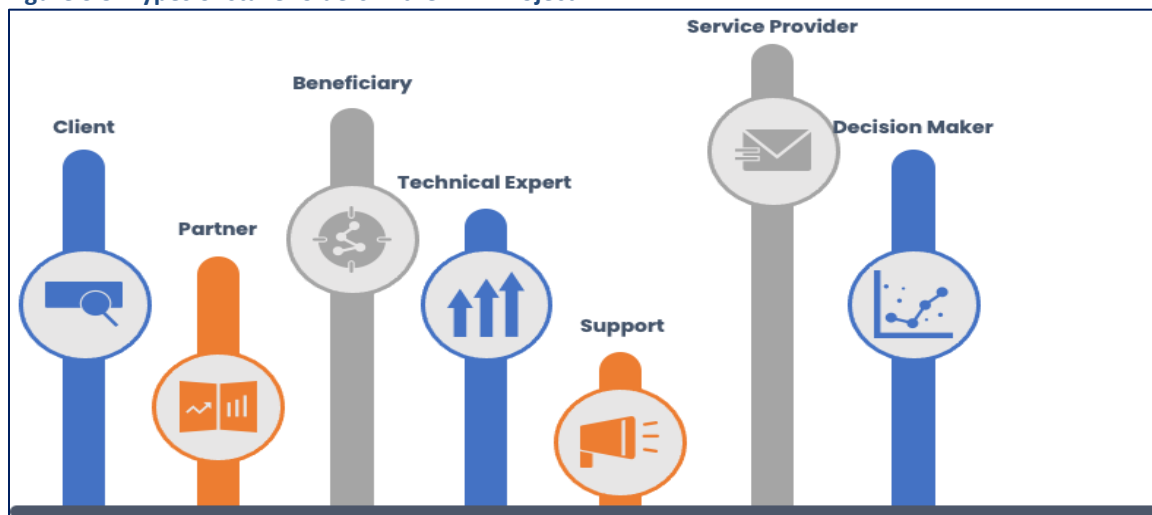
3.2.3.3 Stakeholder and beneficiary participation

The EDA Project involves a diverse set of stakeholders who have been involved at different times over the LOP. Stakeholder participation ranges from information sharing to decision making and while there is evidence of stakeholder mapping regionally and nationally there is no evidence of comprehensive targeted stakeholder engagement plans that drive the participation of stakeholders and beneficiaries. Review of project documents revealed a range of stakeholders involved in the EDA Project, some short term and others over the LOP (Figure 3.5). Strategic stakeholder mapping was evident via the work of the OECS Commission in developing the EDA Communication Strategy and Plan (Jan 2022) and at the national level (ATG's Communication Plan V1 (undated) and Communication Plan Frameworks for both DOM and GRD). While the objective of the plans identifies the importance of stakeholders and beneficiaries for successful project implementation, the engagement strategy was limited to a vision for creating awareness around the project activities. Important too are roles and responsibilities of implementing partners, service providers, line ministries and other key stakeholders and these were not sufficiently

The Project is a very good one, as it empowers NGOs and local communities, as it gets funding closer to the persons that really need the help (ATG CBO grant recipient) CBO REP. ATG, 2022)

identified in the documents nor other strategies for engagement defined. Evidence of stakeholder involvement in AWP development, recognition of their capacity constraints and types of support that could be provided and communication on urgent project matters was limited (Boxes 3.7 and 3.8). Adding to this, the COVID-19 pandemic impacted the extent to which project teams could have direct face-to-face interaction. However, in ATG, through the efforts of the output-level teams, community walkthroughs were employed that secured buy-in from community leaders and organisations, enabling greater support and uptake by community stakeholders for grants and loans mechanisms. Consultations revealed that there is constant dialogue with ATG beneficiaries, and the PMU personnel have shown understanding of their needs. Box 3.9 provides feedback from beneficiaries on grant support and although by all indication they considered the project development process to be good, there was demand for more detailed grant writing support. The ESMP (2017) also includes a brief note that *“The project’s stakeholder and community consultations should follow the Department of Environment’s Stakeholder and Community Consultation Strategy (July 2016), including the step-by-step guidance and for capture, analysis and reporting of feedback”*. It also proposes a timeline for community consultations and feedback.

Figure 3.5. Types of stakeholders in the EDA Project



Box 3.7. Examples of Issues that could have been resolved through proactive stakeholder engagement

- While recognizing the capacity constraints within the Attorney General’s Office/Legal Affairs Department, there was limited communication and absence of strategies to support completion of tasks.
- SPs were sometimes unaware of their responsibilities against those of the EE.
- Weak communication with potential SPs on progress and status of their agreements.
- Extended time for feedback on the DOM PSIP Proposals.

Box 3.8. Communication Issues During Start-up Process for Output 4 Dominica

Dialogue with and assessment of the Government Housing Loans Board (GHLB) started in early 2020 but the Dominica subsidiary agreement was not finalized. In a letter to the GHLB on October 1, 2020 it was noted that the Prime Minister had granted approval for the GHLB to be the SP for the RL component. On Jan. 25, 2021 GHLB provided a letter signed by the MoF indicating their ability to provide the service to vulnerable communities. In March 2021, Cabinet approved GHLB as the SP for the revolving loans. In July 2021, the PMU was awaiting a letter from the GHLB's legal team to indicate that they could provide the service to not only public sector but also private sector. The letter was received on August 13, 2021 indicating that the GHLB could service loans to both the public and private sector. Also in July 2021, the PMU engaged the National Development Foundation of Dominica in dialogue towards offering the service as the RL provider, and the entity provided documents in support of their consideration as SP but there was no further follow up. On September 29, 2021 a letter from the Attorney General to the MOE indicated that the GHLB could only provide loans to public sector workers but further highlighted an option wherein the GHLB could subcontract the private sector loan portion to a third-party service provider. He concluded that the GHLB may serve as the SP however this was not approved by the Cabinet. The understanding of the GHLB however is that on the recommendation of the AG on September 29, 2021 the Cabinet had approved them as RL Provider and the general public was informed. The GHLB added to its staff complement to ensure the full capacity where 6 members of staff would be involved in the day to day running of the GHLB with 2 persons specifically focused on the project. Notwithstanding, the Cabinet Paper to advance with GHLB was withdrawn and not approved.

The GHLB is unaware of the current status of the project and exactly when the funds will be disbursed to them having not received any updates from the EE. There has been no indication of any problems that the EE may have found with the GHLB appointment as SP.

Box 3.9. Quotes from Output 3 beneficiaries

Grenada

- (1) CN preparation process was clear and easy to follow, and personnel was available if needed. A meeting was held with applicants to explain the process post submission of the CN.
- (2) Unclear of next steps.
- (3) The Project is a very good one, as it empowers NGOs and local communities, as it gets funding closer to the persons that really need the help"
- (4) It is an awesome programme, as the certification being pursued is needed for access to the US Market, very timely intervention."
- (5) "There should be better communication in updating applicants on the status of their application and hopes that the time lapsed will not be calculated as part of the time needed to do the proposal as well as affect the 18 months for completion"

ATG

- (1) Training on Grant Writing (2 one day sessions) and familiarization with the EDA program - conducted by the DOE. The training was very helpful in understanding the process of Grant Writing as well as the Initiative to reach out to communities and caring for the environment.
- (2) A longer, more in-depth session of training would be helpful. Even though the staff was very helpful, I had to go back several times to the DOE personnel for assistance after the training. Greater practical experience in grant writing would be useful."

Existing policies and procedures of key stakeholder organizations have been modified and utilized for activity implementation under the EDA project. The Project has benefitted from previously implemented activities whereby the established policies and procedures can be utilized for EDA Project implementation. The SIRFF in ATG was established in 2019 under the Environmental Protection and Management Act (2019) and the Finance Administration Act (2006) and has implemented both on-granting and on-lending projects for the DOE ATG. Its policies and procedures are being used for administration of Output 3 and Output 4 for the EDA Project. The Environment Division in GRD previously established its Community

Climate Change Adaptation Fund (CCCAF) and implemented 27 community-based projects using its standard operating procedures. This operational infrastructure has been adapted to GCF requirements, and is being utilized for the implementation of Output 3. Management and administration are being conducted by the RDU of the MOF as the SP. Also, in GRD the GDB was approved as the SP for Output 4, and the agreement and Term Sheet completed in February 2022. The GDB also has a track record for providing loans and its capacity is being utilized for Output 4 implementation. The SP for Output 3 in Dominica, the GEF SGP, has a good track record for implementing climate change adaptation projects with CBOs. It is utilizing its processes and procedures as well as structures such as its National Steering Committee as the TEC to implement Output 3.

NDAs are important GCF agents who have been involved in EDA Project oversight but to a lesser extent in their capacity as NDA Focal Points. The IE duly notes the importance of NDAs to the Project, especially for endorsements and communication with the GCF. Consequently, communication with them on EDA progress and ongoing adaptive management actions is a key requirement. NDA Focal Points (FPs) in the three EDA countries are engaged in the Project but their involvement as GCF FP has been minimal. In GRD, the NDA FP from the MOF is a joint country project manager for the EDA Project and has significant involvement, including in activity implementation. Similarly, in DOM, the NDA FP is a member of the PMC, providing oversight and coordination and is also directly involved in one of the capital projects under Output 2. For ATG, the NDA is the Ministry with responsibility for the Environment and the DOE ATG plays a central role and shares with the MOF. The ATG NDA FP is a signing member of the PMC. The NDA FPs have ongoing communication with the AE and although updates are provided to them, they do not always review documents, including APRs and correspondences prior to their submission to the GCF.

3.2.3.4 Donor Relationships

The relationship between the DOE ATG as the AE and the GCF has grown significantly since the DOE ATG's accreditation and designation as the AE for the EDA Project and throughout implementation. The DOE, being then a new DAE, and the AE for the EDA Project, reflected capacity built and organizational maturity, which according to the GCF was considered a best practice. The GCF viewed the ATG's capacity as a critical ingredient for the Project, especially in light of the gaps that existed with the other two EDA Project countries and the DOE's ability to mobilize expertise and efficiently implement projects was a strength of this EDA. However, the COVID-19 pandemic came at a time when the Project needed acceleration and interaction between the AE and the EEs, was significantly reduced. Notwithstanding, the DOE ATG utilized all possible media for communication with the EEs and country stakeholders. The GCF was in turn flexible and accommodated changes to project implementation based on the AE's requests

The GCF has recognized a number of critical constraints faced by the EDA Project team and has incorporated enough slack and flexibility to accommodate adjustments. Early in the Project, the political dynamics in the region was recognized as a major risk and required adjustments to the implementation arrangements (e.g., DOE ATG processing payments on behalf of the other two countries until the FMCA has been approved by the GCF). Further to this, the COVID-19 pandemic severely impacted the Project, including the curtailment of travel, project staff and stakeholders and their families affected by COVID-19, and work from home policies, all of which impacted efficient and effective project implementation. The GCF's interest in the impact of the project is high, especially as it will inform future programming.

During the pre-feasibility phase of the Project, the GCF worked well with the DOE and Project team, providing constructive feedback for project enhancement prior to approval of the funding proposal.

Evidence provided included communication with the GCF's Board and the Independent Technical Advisory Panel (iTAP). There was an ongoing concern regarding the capacity of DOM and GRD but this was allayed by the support and capacity to be provided by the DOE. Recommendations were made to improve on specific sections and for addressing capacity gaps such as those that existed in DOM and GRD. The iTAP had recommended approval by the GCF Board, contingent on specific conditions (iTAP undated). There was a conditionality for financial resources to be provided only where there was evidence of capacity built. The feedback was used to strengthen the funding proposal that was approved in 2018 (FA 2018).

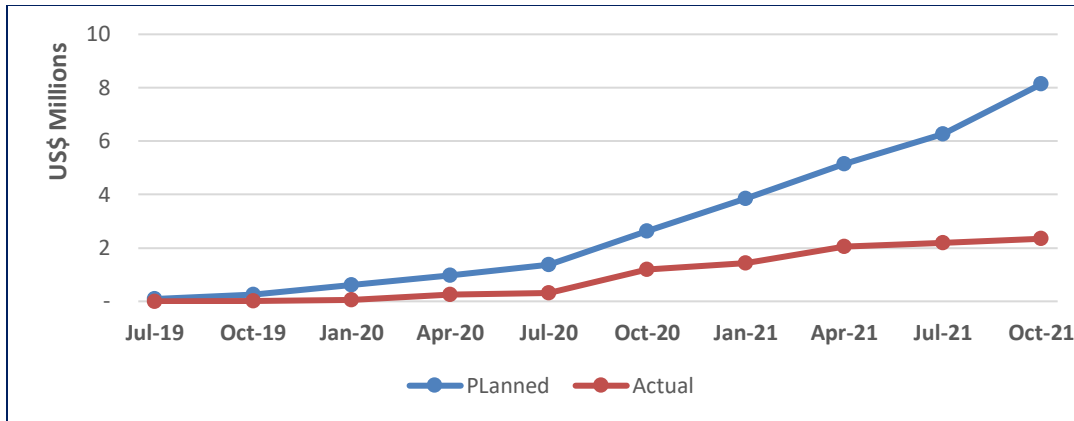
The GCF has worked well with the EDA Project team and recognizes the strong political support for the Project. The Project has had high level endorsement from the OECS Ministers of Environment and the participation of the OECS Commission, including use of its standards and procedures. These reinforce the need for collaboration and cooperation and especially concerning the political dynamics that exist. EDA projects are dissimilar to a regular project, and provides flexibility in order to generate learning, through documentation of lessons learned, good practices and outputs and outcomes. This is especially important for the assessment of the financial architecture, and access to finance by the most vulnerable. This will bode well for replication and overall learning.

During implementation, the GCF has had ongoing and regular communication with the AE, providing feedback on documents and supporting requests made. On submission of APRs, the GCF provides feedback for further input from the AE and EEs. The AE has provided timely communication to the GCF on project issues, including the request for waiver of the threshold for disbursement, which was approved, and the impact of the COVID-19 pandemic (May 8, 2020).

3.2.3.5 Financial Planning and Management

The Project budget as presented in Schedule 2 of the FAA (2019) was consistent with realized activity costs, even when accounting for inflation. As of December 31, 2021, actual expenditure was US\$2,331,453.79 of the allocated GCF funding of US\$20,000,00.00, with the ATG EE accounting for 86.50% of the total spent. At the time of the IE, project expenditure was approximately 5 quarters behind the planned expenditure rate, primarily due to the delays in both DOM and GRD and with maximum quarterly gaps of US\$4,062,388.99 and US\$5,791,114.88 incurred during the 3rd and 4th quarters, of 2021, respectively (Figure 3.6).

Figure 3.6. EDA Project Quarterly Expenditure Trends (Planned versus Actual), July 2019 – December 2021



At the time of the IE, the financial management of the EDA Project was neither effective nor efficient. However, the fiduciary management employed by the AE and EEs for the EDA Project was strong and reflected full compliance with the FAA (2019), while adhering to the AE’s procurement guidelines, and where applicable, the national procurement guidelines of the respective EEs. The accounting responsibility of the AE and EEs was established to be effective in controlling budget spending via the accountancy system employed in controlling distinctive cost pursuant to the FAA (2019). Annual budgets did not reflect actual capacity to spend thereby creating idle balances and excess liquidity/unused budget balances at the end of each accounting period (Table 3.6 and Annex 7).

Table 3.6: Annual Unspent Budget Space

Budget Lines		2019	2020	2021
Sub-Activity	1.1	-100.0%	-32.8%	-82.5%
	1.2	-100.0%	200.0%	-100.0%
	1.3	-60.1%	-37.8%	-89.0%
	1.4	-100.0%	-25.4%	-87.6%
Output 1		-95.8%	-9.3%	-85.6%
Sub-Activity	2.1	-100.0%	-95.5%	-80.3%
	2.2	-100.0%	-99.5%	-86.1%
	2.3			-97.8%
Output 2		-100.0%	-99.0%	-96.2%
Sub-Activity	3.1	-100.0%	-89.6%	-86.0%
	3.2			-83.3%
Output 3		-100.0%	-89.6%	-83.5%
Sub-Activity	4.1	-100.0%	-97.7%	-65.2%
	4.2	-100.0%	147.8%	-100.0%
Output 4		-100.0%	71.5%	-97.9%
Output 5		-100.0%	-50.9%	-50.9%
Avg Liquidity		-99.0%	-62.2%	-79.1%

The financial management of the EDA Project was also ineffective due to the non-accomplishment of targeted outputs and outcomes as per FAA Schedule (2019). Inadequate financial and procurement planning, structural inefficiencies in the procurement processes employed, and the layered approval process at the country level were contributing factors. The financial data provided by the AE indicated that at the start of each financial period there was an amendment to the budget that departed from Schedule 2 of the FAA, and which lowered the expected rate of value creation. In addition, annual budgets were far greater than the assigned/dedicated national procurement capacity dedicated to the Project. For each of the implementing periods, the EEs failed to achieve the intended allotted budget space (Table 3.6). Table 3.6 also shows that for the years 2019-2021, 99%, 62.2% and 79.1% respectively remained unspent. There was no evidence provided to conclude that unspent budgetary space for 2019 and 2020 was rolled into subsequent years budget, (2020 and 2021, respectively), an implication of which was that the estimation of annual budget was not reflective of project schedule established within the FAA. Furthermore, the annual budgets, procurement plans, and AWP's were not synchronized. Data presented in Table 3.7 reveal that activities scheduled were allotted the required budget space, which was on average US\$659,859.33 per annum across the 3 EEs (that is, ATG EE US\$1,653,962.74; DOM EE US\$132,863.03; and GRD EE US\$192,752.22).

Table 3.7: Budgetary Management for the EDA Project (2019-2021)

Yr.	Budget (US\$)					
	Planned Budget (FAA 2019)			Actual (DOE Reports)		
	GRD	DOM	ATG	GRD	DOM	ATG
2019	762,375.00	757,875.00	1,060,750.00	-	-	1,826,000.00
2020	2,793,375.00	2,784,875.00	3,059,750.00	245,000.00	165,000.00	1,827,000.00
2021	2,346,125.00	2,348,625.00	2,465,250.00	333,256.65	233,589.10	1,308,888.23
Total	5,901,875.00	5,891,375.00	6,585,750.00	578,256.65	398,589.10	4,961,888.23

3.2.3.6 Cost and Implementation Efficiency

Up to the time of the IE, the EDA Project budget in all three countries had not been spent in an efficient manner. The overall project cost incurred was US\$2,331,453.79. This far exceeded the value of work created¹⁶ at US\$1,725,159.23. The Cost Performance Index (CPI) was 0.74¹⁷ and Cost Variance (CV)¹⁸ was -US\$ 4,341,723.01. The IE's analysis of value created over the LOP was estimated by using the aggregate spend over the LOP as a proxy ((actual spend/total amount budgeted) * planned expenditure).

¹⁶ Value creation refers to the percentage of core outputs achieved at the time of evaluation. Actual expenditure was used as a proxy for the value of work completed on an annual basis, using the relationship: {US\$2,331,453.79/US\$20,000,000} * US\$14,799,000, where US\$14,799,000 is the planned expenditure up to December 31, 2021 as per the FAA (2019).

¹⁷ CPI provides an indication of the Project's cost performance, measured by the ratio of earned value to actual cost. This ratio provides an estimate of how much value was created by every dollar of actual cost incurred.

¹⁸ CV is the actual difference between value created and cost incurred.

A CPI less than 1 and a negative CV indicates that the allocation of the EDA Project budget over the LOP was not deployed in a manner consistent with achieving the planned rate of value creation (Figure 3.7). Figure 3.8 shows that the cost efficiency (CPI) for the Project was on average at 32% up to the time of the IE, that is, only US\$0.32 of value was created from every dollar spent. Although CPI peaked in December 2021 at 74%, overall project implementation to date was not cost-effective. The CPI estimates derived are indicative of other serious factors impacting project implementation. The assessed CV summed to an estimated -US\$4,341,723.01 as of December 2021, which is indicative of annual value creation by the Project being less than the actual cost, that is, the Project has overspent for the work completed up to the time of IE.

Figure 3.7: Estimated CPI and SPI Trends

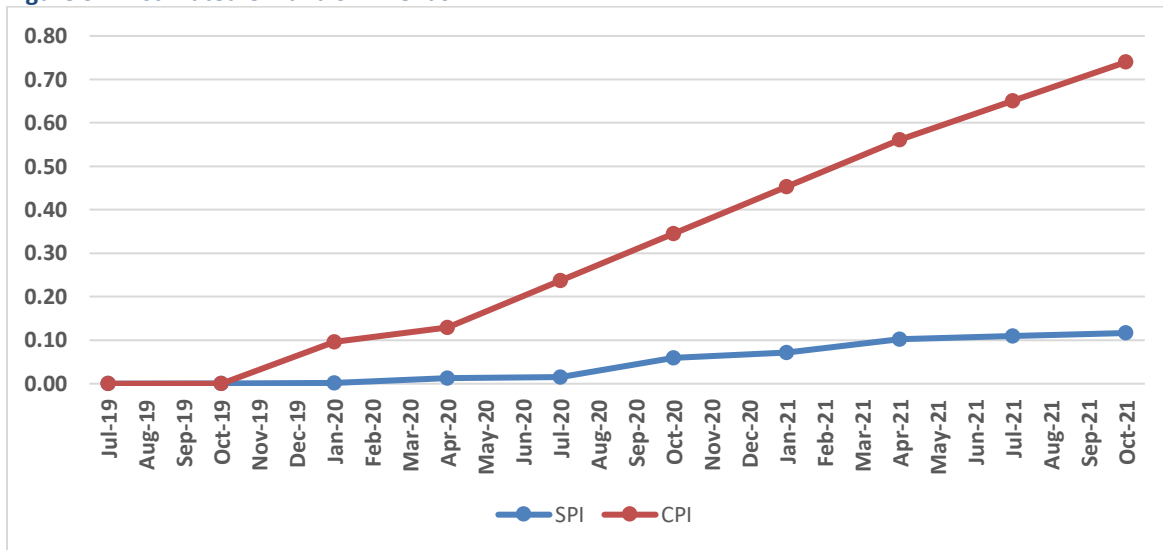
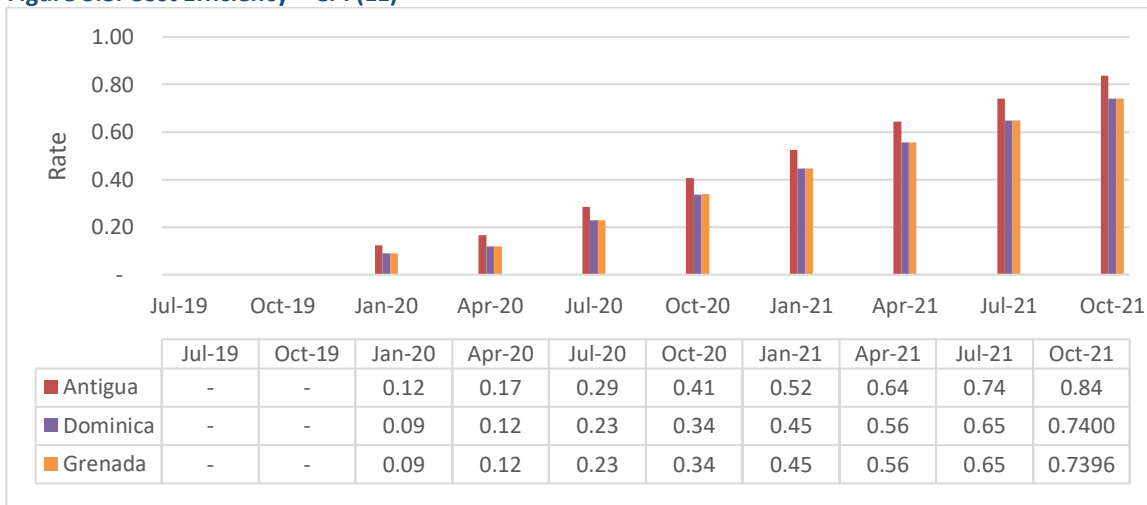


Figure 3.8: Cost Efficiency – CPI (EE)



At the country (EE) level, similar trends of inefficient value creation were also noted. At the EE level, relative to allotted respective country budgets, there exists a significant variation in the rate of earned value achieved with ATG EE at 26.41%, DOM EE at 1.82% and GRD EE at 1.82%. At signing, the planned

value creation by the EDA Project was estimated at US\$1,250,000 per quarter over the LOP (FAA, 2019) or US\$452,593.75 for ATG, US\$398,406.25 for DOM and US\$399,000.00 for GRD. However, during implementation the estimated average value achieved per quarter over the period ending December 2021, was estimated to be US\$616,832.93 for the EDA Project, while at the EE level, it was estimated US\$548,382.39 for ATG, US\$34,889.93 for DOM and US\$33,560.61 for GRD. Additionally, in December 2021, the maximum CPI estimate was 0.84. Cost efficiency was lowest for GRD with 0.7396, while that of DOM was 0.74. The findings are indicating that severe cost inefficiencies were created across all three EEs (Figures 3.9 and 3.10).

Figure 3.9: Time Phased Quarterly performance

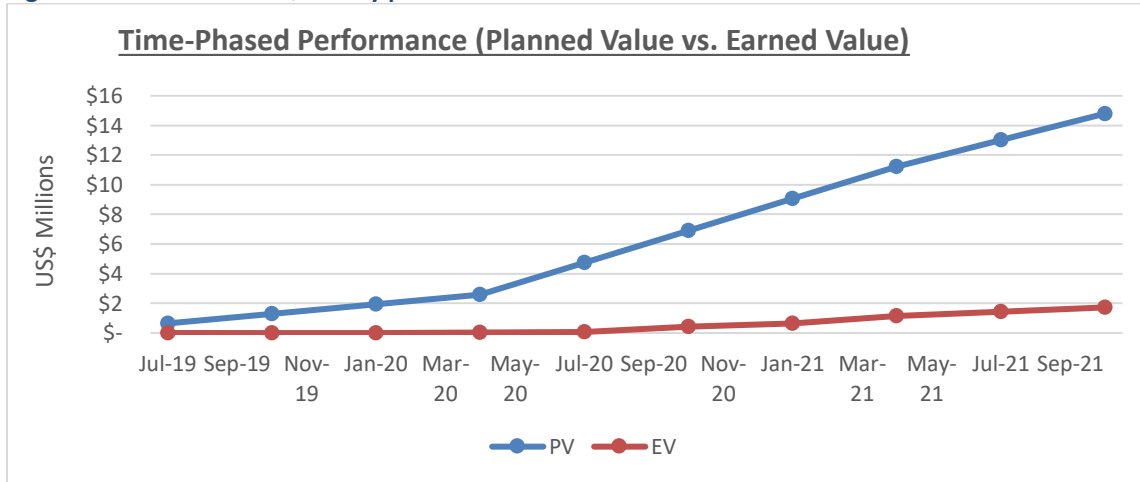
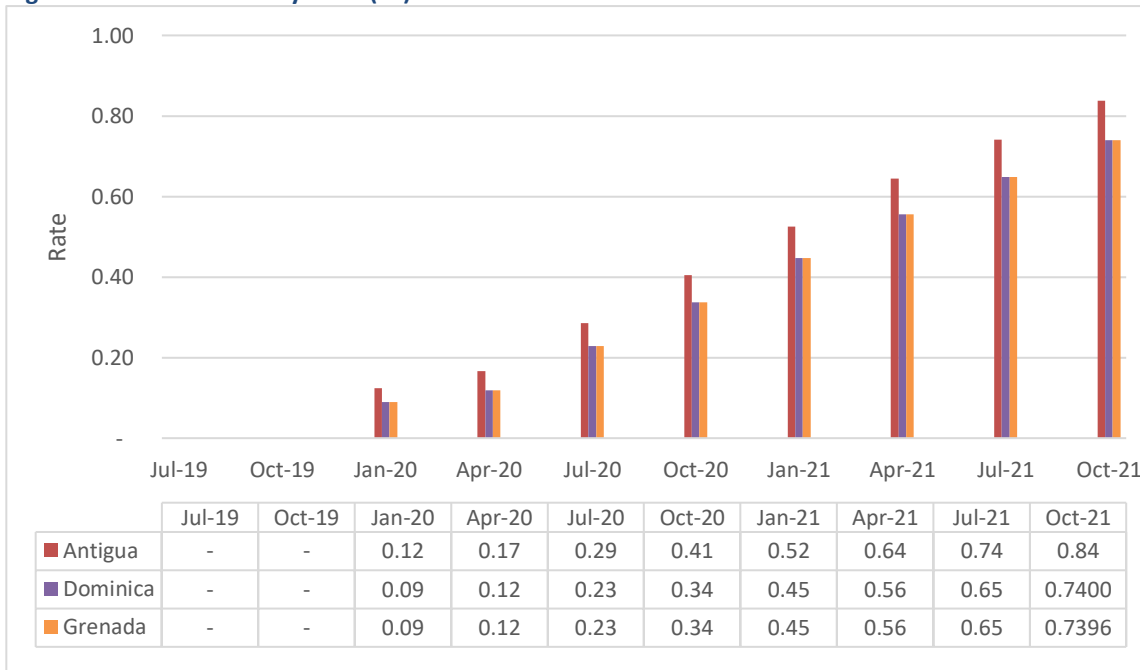


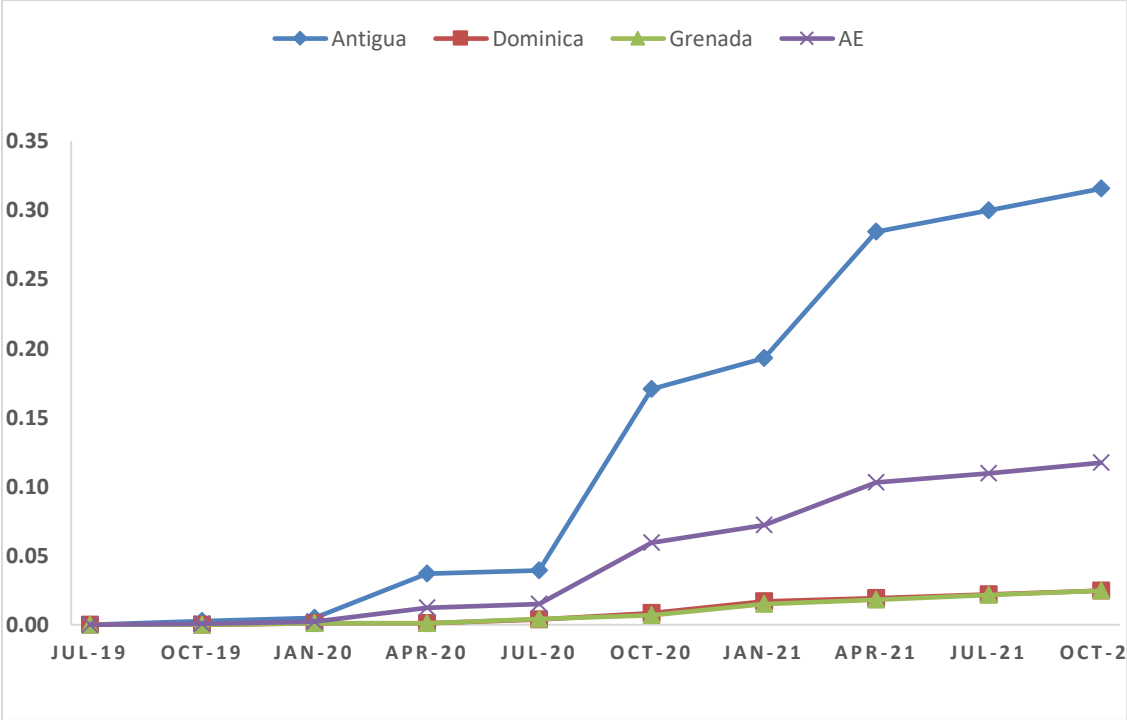
Figure 3.10: Cost Efficiency – CPI (EE)



Project implementation in all three countries was inefficient. The Schedule Performance Index¹⁹ and the Schedule Variance (SV)²⁰ both indicate that the project is significantly behind schedule, by 10 quarters. The SPI estimate of 0.1167 indicates that the Project was behind by 10 quarters. The SV estimate of -US\$60,703,701.28 is the sum value creation or aggregate loss up until the time of the IE. This is estimated to be at 300% of the GCF allotment. The estimated average quarterly SPI of 0.05 over the PIP also provides evidence of project implementation being significantly behind schedule. On a country level, ATG implemented at a rate of 12.78 times that of GRD and DOM who are implementing at the same rate of 0.01. At the country level, the Schedule Variances of each EE were on average equivalent to the entire Project value, that is, ATG EE US\$19,150,363.63, DOM EE US\$20,474,362.64, and GRD EE US\$20,386,444.45. The maximum SPI values were attained by ATG at 0.315, while GRD and DOM were 0.025 as of December 2021. ATG was creating value at a higher rate than the Project average, while GRD and DOM were significantly lower (Figure 3.11).

Based upon the earned value estimates derived, the key performance indicators for the Project (CPI, CV, SV, SPI, and net benefit estimates) are not reflective of an effective application of the management structure outlined within the Project Document in deriving desired outputs and outcomes (Figures 3.11 and 3.12).

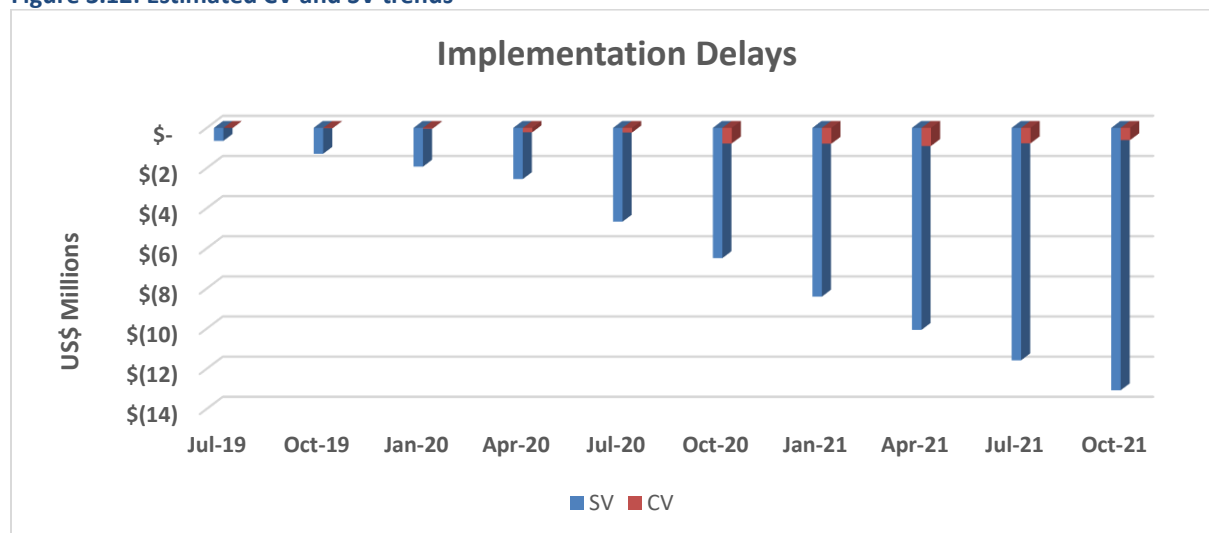
Figure 3.11: SPI for AE and EEs for the EDA Project



¹⁹ The SPI is the measure of the conformance of actual progress relative to the planned progress (e.g., as per FAA). It is the ratio of the earned value to the planned value. In the ideal case the SPI should be 1. If the SPI is below 1, the implementation is behind schedule.

²⁰ The schedule variance is the value of the unachieved value creation, which is the difference between earned value and planned value.

Figure 3.12: Estimated CV and SV trends



3.2.3.7 Cost Effectiveness

The EDA Project was not cost effective as the economic cost²¹ of the project amounted to - US\$91,810,976.96, 68% of which was due to implementation delays. The planned strategies and inputs were considered realistic, appropriate, and adequate to achieve desired outcomes and outputs. However, the coordination and sequencing of planned project activities were not strategically implemented on time and within budget in order to achieve the desired results in a cost-effective manner. To date, the costs associated with implementation delays amount to US\$65,045,424.3, funds set aside by the GCF for the EDA Project that were not yet disbursed US\$15,379,000.00, plus unspent GCF funds of US\$ 656,355.95 created a total cost of US\$95,879,780.25. The direct benefit of the Project is US\$4,068,803.05, with 57% derived from Project spending, and with the remaining balance being derived from value creation over the PIP (Table 3.8).

Table 3.8: Cost Effectiveness Analysis

Cost	Value (US\$)
Direct cost of implementation ²²	-14,799,000.00
Implementation delays (CV + SV)	-65,045,424.30

²¹ The economic cost is comprehensive analysis that captures the overall benefits / costs associated with the Project beyond the direct costs as reported within the financial statements provided. The analysis captures direct and indirect benefits (positive or negative) associated with the Project at the time of IE. The economic cost is really the benefit foregone from other opportunities arising from dedicating resources to the EDA Project as per the FAA (2019) schedule.

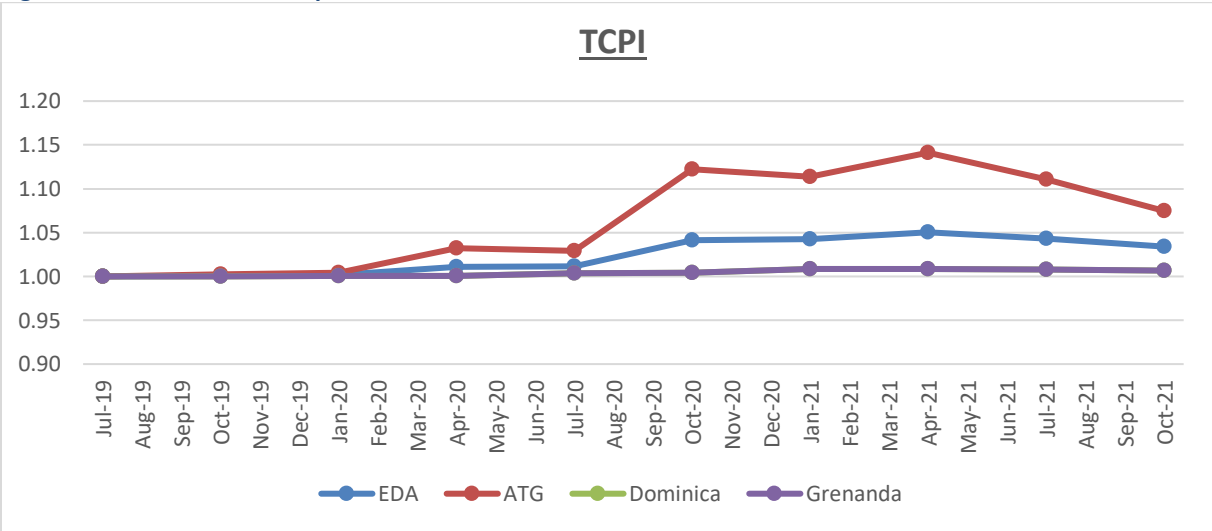
²² Summed annual planned expenditure up to December 31, 2021 as outlined within the FAA 2019.

Cost	Value (US\$)	
Unclaimed GCF funds	-15,379,000	
Unspent GCF funds	-656,355.95	
Total		-95,879,780.25
Direct Value Created	1,725,159.23	
Project spend	2,343,644.05	
Total Benefits		4,068,803.28
Net Benefit		-91,810,976.96

3.2.3.8 Projection to EOP, Based on Financial Performance

The quantitative indicators used to evaluate the EDA Project indicate that the rate of expenditure/implementation required to complete the Project within budget and on time would need to be increased 10-fold to be consistent with the FAA. Consistent with the negative return on investment, the calculated *To Complete Performance Index* (TCPI) being greater than 1 is indicating that cost performance would need significant improvements in value creation over the balance of the PIP to achieve the designed objectives of the Project. The TCPI trend indicates that initial delays created a significant spike in the required improvement in cost efficiency to get the Project on track to achieve current budget at completion. The TCPI being greater than 1 indicates that cost performance would need significant improvements in value creation over the balance of the PIP to achieve the designed objectives of the Project (Figure 3.13). At the time of the IE, the required rate of increase in value creation was approximately 1000%, thereby indicating that the current CPI estimate will have to be increased 10-fold to achieve current budget at completion. Further, the TCPI estimate trend is indicating an increasing need for exponential growth in value creation to achieve budget at closure.

Figure 3.13: Performance Improvement Estimates



At the current rate of implementation, it is likely that Project outcomes and outputs will be achieved post the Project Implementation Period. A rapid increase in implementation is required given that earned value by the EDA Project was eight quarters behind schedule and US\$13,073,840.77 less than projected as of December 31, 2021. Since the effective date, the gap between the earned value and planned value has increased exponentially as shown in Figure 3.9. When the TCPI estimates were considered, at the current implementation rate, the EV will not be equal to the PV until after EOP. The difference between the planned and actual represent the additional amount that should be spent above the planned rate post IE to achieve planned budget at EOP. According to the FAA (2019), as of January 2022, remaining expenditure should have been US\$5,201,000.00 remaining. However, in addition to that US\$5,201,000.00, there exists an amount of US\$12,467,546.21 unspent amount which must now be spent within the remaining 6 quarters. Therefore, an amount of US\$17,668,546.21 remains to be spent between IE and EOP, which requires a spend rate of 340% of the scheduled FAA rate²³. Post IE, for the project to be completed on time and within budget, the EEs will need to achieve 73.41% (ATG), 98.18% (DOM) and 98.18% (GRD) of the planned value within 37.5% (6 Qtrs) of the planned implementation period.

3.2.3.9 Procurement

Procurements under the EDA Project are required to adhere to the DOE's Procurement Policy given that the DOE, in its capacity as the AE to the GCF, was assessed to have the requisite policies, procedures, systems and internal control framework to ensure fair and transparent procurement processes. Clause 14 of the AMA (2018) stipulates that the “procurement of goods and services for Funded Activities, whether by the Accredited Entity itself, and Executing Entity or by a third party, shall be done in accordance with the rules, policies and procedures of the Accredited Entity to the extent and scope of its Accreditation”. This requirement is also reflected in the FAA (2019) and the EDA Project Implementation Manual (PIM) (2020), which further specify that while the DOE's Procurement Policy will be used for the EDA Project, both the OECS Commission and the EEs, upon being accredited by the GCF, will use their own procurement policies and procedures²⁴. The PIM and SAs also highlight critical procurement standards for the EDA Project, such as open and competitive selection processes that yield the best value for money while adhering to environmental, social, and gender policies.

Based on IE consultations and document review, it can be reasonably concluded that EDA Project procurement processes have generally complied with the DOE's Procurement Policy, as there has been no evidence of noncompliance. Procurements under the EDA Project have benefitted from an oversight and implementation procurement framework and system that includes the following:

- **Preparation of procurement plans.** Each year country teams must prepare a procurement plan that will guide the conduct of procurements for that year. Any unplanned changes must receive formal approval (AE and PMC) before execution.
- **Multi-level review, control and approval systems.** The Procurement Policy, PIM, SAs and other relevant project documents specify the various levels of review and approval in accordance with the types of procurements being planned for implementation. The finalization of procurements is

²³ This finding is consistent with the TCPI estimates reported in figure 3.13.

²⁴ The Funding Proposal indicates that the EEs have adequate capacity for procurements.

associated with several steps, including, internal review by the country teams, AE/DOE review and approval, PMC approval²⁵, evaluation processes and final selection/contract award.

- **Technical assistance support mechanisms.** This has taken several forms, including support (advice, templates etc.) provided by the DOE to the ATG and GRD teams. Another example is the country-specific collaboration that support EDA Project procurement processes, such as in GRD, where the EDA Project Officer is able to receive input to inform TOR development from technical personnel in relevant line ministries.

Notwithstanding the efforts to successfully execute procurements across all three EDA Project countries, several challenges have impeded the efficiency and effectiveness of procurement functions, contributing to significant delays and varying stages of implementation. Of the three countries, procurement implementation is most advanced for ATG, but significantly behind for DOM and GRD. The slow execution of procurement actions poses substantial risk to successful project execution. A comparison of country procurement plans against actual and committed expenditure amounts is another way in which the low/delayed performance of the Project is highlighted. Table 3.9 reveals that for each complete year of implementation to date, there is a significant difference between the planned value of total procurements and the actual expenditure associated with completed or in-progress procurements at the end of the year. For example, the 2019 procurement plan outlines activities across all three countries amounting to US\$10,280,251, which is approximately 50% of the funds allocated by the GCF, however as at December 2021, the Project has only expended US\$2,331,453.79 with an additional US\$4,373,316.61 committed under signed contracts. The contributory factors to the delayed procurements are both internal and external to the three EEs. Box 3.10 highlights some of these reasons as well as other issues that have impacted the successful and timely conduct of EDA Project procurements to date.

Table 3.9. Comparison of Value of Planned Procurements, Value of Actual Expenditure and Amounts Committed

Year	Countries	Estimated Value (USD) of Planned Procurements	Total End of Year Expenditure	Total Committed	Total Expended and Committed
2019	Antigua	4,191,251.00	16,739.83	50,220.16	66,959.99
	Dominica	3,044,600.00	0.00	0.00	0.00
	Grenada	3,045,000.00	0.00	0.00	0.00
	ALL	10,280,851.00	16,739.83	50,220.16	66,959.99
2020 ²⁶	Antigua		1,072,015.46	1,476,627.20	2,548,642.66
	Dominica		54,410.90	23,249.76	77,660.66
	Grenada		42,493.35	26,634.68	69,128.03
	ALL		1,169,254.51	1,526,511.64	2,695,766.15
2021	Antigua	3,502,000.00	927,872.43	4,344,932.55	5,272,804.98
	Dominica	4,088,000.00	102,652.12	21,478.88	124,131.00

²⁵ The PIM indicates that one of the responsibilities of the PMC is to make final procurement decisions for the projects being executed by or on behalf of the DOE ATG, ensuring that the project activities adhere to Financial and Management Legislation as well as the Procurement and Audit Standards of the AE, and any other relevant national legislation.

²⁶ The approved 2020 Procurement Plans were not made available for IE review. An update received from the DOE ATG shows planned procurements for ATG, DOM and GRD amounting to US\$2,555,079.94, US\$15,000 and US\$25,000, respectively. However, these figures likely do not fully reflect all activities and associated estimates that would have been specified in the approved 2020 procurement plans, particularly for DOM and GRD.

Year	Countries	Estimated Value (USD) of Planned Procurements	Total End of Year Expenditure	Total Committed	Total Expended and Committed
	Grenada	4,409,000.00	114,934.91	6,905.18	121,840.09
	ALL	11,999,000.00	1,145,459.46	4,373,316.61	5,518,776.07
2022	Antigua	5,111,920.00			
	Dominica	5,627,500.00			
	Grenada	4,887,144.00			
	ALL	15,626,564.00			

Source: Country Procurement Plans (2019-2022) and Financial Reports (2020-2021)

Box 3.10. Procurement Issues and Constraints

- **Delays in predecessor activities**, which resulted in the late start of follow-on procurement activities. For example, the procurement for M&E Officers was cancelled as implementation was not yet at a stage where the officers were needed.
- **Lengthy processes**, for example review of documents, evaluation of documents, approval of recommended procurement actions etc.
- **Country-specific requirements that contribute to protracted delays**. Procurements were slowed by factors such as national-level bureaucratic procedures (e.g., staff hires needing to be approved by Cabinet) and COVID-19 response measures (e.g., shutdowns). These factors contributed to the delayed contracting in July 2020 of project staff in GRD and DOM, although the recruitment process was completed in January 2020.
- **Processes having to be reinitiated** owing to receiving inadequate number of submissions, as was the case in Grenada for the advertised opportunity for EIA, ESMP and GAP services.
- **Capacity constraints** as it relates to the efficient execution of procurement functions, particularly in Dominica and Grenada. The reasons for this vary, and include competing priorities, insufficient procurement experience, although some training was provided by the DOE in the early stages of the project. For Component 2, PSIP units in all three countries suffered from staffing challenges. In Antigua response measures included the DOE and the MOF approving the recruitment of a Project Officer to support the PSIP.
- **Challenges getting three quotations** to meet the requirements of the shopping procurement method.
- **Gaps in alignment across various project planning documents**, including procurement plans, budgets, project implementation plans, and risk registers.
- **Budgetary shortfalls** where the planned cost of activities is less than the actual cost.

Procurement monitoring has varied across the EDA Project, with tracking of some country-level procurements by the DOE ATG, but no evidence of monitoring being undertaken at the overall EDA Project level to support full assessment of procurement execution against what was planned. Additionally, at the time of the IE, there was no evidence of procurements being monitored by the OECS Commission and limited use of the Sustainable Public Procurement system (SPP) to guide procurements as per the FAA (2019). While the DOE ATG tracks the procurements it initiates on its behalf and for the other two project countries, there is a marked absence of procurement monitoring at the overall project level. Additionally, the archival of procurement-related information is not centralized across the EDA Project, which presents challenges for monitoring procurements and tracking progress against what was planned. This also contributed to delays experienced by the IE in obtaining some requested procurement files. Further, the OECS Commission was engaged to provide several services, including project M&E services and coordination of the sustainable procurement system. There is no evidence to date of the OECS monitoring procurements in accordance with Clause 5.04 of the FAA (2019), which states:

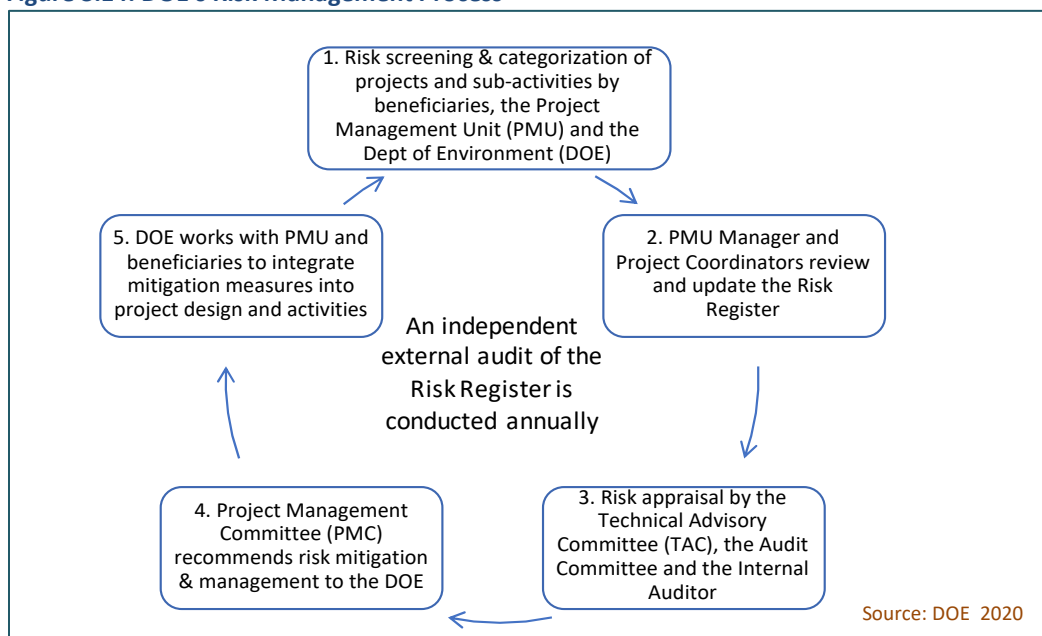
“Procurement. The monitoring and evaluation of the Funded Activity shall be executed by the OECS Commission”. While the Sustainable Procurement Guidelines have been completed and associated regional training conducted (PSIP Q1 Report 2021), consultations have revealed that the guidelines have not been used to the extent envisioned, e.g., to guide procurements under Outputs 2-4 as specified in the FAA (2019), partly due to delays in implementation. Nevertheless, several efforts have been made to integrate sustainable procurement actions, including incorporation of sustainable procurement provisions in contracts and TORs (e.g., relating to ESS and gender) and procurement of sustainable sand for Output 2 activities in ATG. Additional efforts underway include the drafting of Sustainable Procurement Action Plans for each project country (APR 2021). The required enabling environment has not yet been established, and will need to be in place in each of the countries to support adoption of the SPP at the national level.

3.2.3.10 Risk Management

Risk Management Framework

The risk management framework established to guide implementation of the EDA Project was found to be sound and sufficient to help to secure the expected results. The Regional PMU, as part of its accountability functions for overall project execution, management and delivery of the Project (scope, budget, etc.), is also responsible for resolving issues and risks (FAA, 2019). The PMU’s responsibilities for risk management include making quarterly updates to the risk register, which should also assess Environmental and Social risks (see Section 4.1.3.10). The DOE’s risk management process has been outlined in Figure 3.14. The FAA (2019) identified several financial, technical, operational, social, environmental and other risks that might prevent the Project objectives from being achieved, along with proposed mitigation measures (Annex 8).

Figure 3.14. DOE’s Risk Management Process



Risk Management Performance

The EDA Project has implemented several key risk management actions, including identifying and documenting risks and their associated mitigation measures, as well as updating the EDA Project risk

register, though not at the frequency specified in the FAA (2019). Risk identification forms a key part of the Project’s risk management framework and from project development stage into implementation, the AE, supported by the EEs, has routinely identified, tracked and/or reported on risks using risk registers and other project reporting mechanisms such as APRs²⁷ and M&E Reports. IE analysis reveals that several of the risk factors identified prior to project start-up (e.g., risk factors 1, 5 and 6²⁸ in Annex 8) have materialized and now pose a threat to successful project implementation. The IE also notes that the EDA Project risk register has not been updated at the specified frequency (quarterly). The risk register for the Project was recently updated (February 2022), following on the drafting of the risk registers for DOM and GRD in 2021 as part of work on the M&E matrix led by the OECS Commission. The updated risk register (2022) highlights several risks linked to political buy-in, COVID-19 fallout, inequitable access to project funds, climate change adaptation intervention deficiencies, staff recruitment and retention, budget and finances (timing mismatch between cash inflow and outflows), and significant default on repayments to the Revolving Loan Fund. These risks, similar to those identified at design, have been found to be relevant and appropriately rated. Another risk, which has significant negative impact for achievement of project results is the COVID-19 pandemic and the shift in Government priorities, particularly in the Grenadian and Dominican EEs, including the availability of co-financing previously committed. While the Project has performed fairly well at documenting risks, the IE notes that there is a need for better integration of risk management efforts, including documentation, to support monitoring, evaluation and recalibration of risk management actions as required, given the overall responsibility of the AE for managing project risks.

While the AE and EEs have tried to be responsive to risks, the IE notes several issues that have negatively impacted the efficacy of risk management actions and that have contributed to the delays experienced by the Project. These include reactive execution of risk management actions, critical project risks remaining unaddressed, inadequate high-level intervention to resolve risks as well as limited monitoring and assessment of risk management efforts at the country and overall EDA Project levels. The gaps in risk management to date have negative repercussions for overall project success and sustainability. The AE and EEs have tried to address risks throughout implementation as outlined in Section 3.8.1, which includes examples of the Project’s response to risks that have materialized (issues). Efforts to resolve risks have been evident particularly as it relates to implementation in GRD and DOM in support of Output 2, which has been identified in several project reports as high-risk for non-completion during the Project Implementation Period (PIP). Notwithstanding, some actions required higher level intervention, which was not forthcoming. Additionally, IE

Box 3.11. Examples of Factors which have Negatively Impacted Risk Management Efforts

- Risk registers not updated as planned.
- No central database or system to track, report on risks at the overall project level and at the country level.
- Inadequate monitoring of risk registers to ensure performance was as intended or updates made quarterly as specified. Additionally, the efficacy of risk management actions is not tracked/monitored.
- Absence of/Limited higher level buy-in that can help to quickly and efficiently address project issues and risks, particularly in the context of Dominica and Grenada.
- Capacity gaps within Dominican and Grenadian EEs have not been speedily addressed.

²⁷ While risks are discussed in the APRs, the extent to which an overview of the Project’s Risk Register has been presented in the APRs in keeping with Section H.2 of the Funding Proposal is not clear.

²⁸ 1. Staff and HR capacity; 5. Timing mismatch between the cash inflows and cash outflows; and 6. Price fluctuations of goods, works and services.

review did not yield evidence that risk documentation, e.g., risk registers, are being actively and regularly used to guide risk management actions to ensure risks are addressed before they materialize, particularly as it relates to implementation in DOM and GRD. Another key gap in the project’s risk management efforts, also in DOM and GRD, is the limited higher-level intervention in support of mitigating risks and resolving project issues. In ATG, identified risks and issues are shared with the TAC and PMC, and escalated to higher levels (Ministerial, Cabinet) as required. However, the slow pace of implementation attests to the need for more effective and integrated risk management efforts to be employed by the AE and the EEs so that implementation hurdles can be avoided or quickly overcome. The IE notes that the AE intends to undertake risk management-focused sessions with the EEs as a follow-up to the EDA Mission that was conducted in March-April 2022. The Project’s ability, or lack thereof, to successfully address risks has contributed to the slow performance to date and is expected to impact overall project sustainability (as discussed in Section 3.7.3). The IE has identified several critical risks to the Project achieving its outcomes and outputs as well as suggested mitigation actions. These have been presented in Table 3.10.

Table 3.10. Risks to the Remainder of Project Implementation

Risk Category	Risks	Probability	Impact	Risk Rating	Suggested Risk Response Measures
Risks to the Remainder of Implementation					
Financial	Cost overruns (e.g., on account of actual costs being higher than planned and/or inadequate remaining project funding to support an extension).	Low-Medium	Low - Medium	Low - Medium	<ul style="list-style-type: none"> Conduct a gap analysis to determine whether the Project (as designed or with any enquired restructuring) can be completed within budget (in keeping with Recommendation 1 in Section 4.4). Accelerate the pace of implementation to minimize additional costs associated with any project extension.
Financial	Economic/fiscal constraints (related to the COVID-19 pandemic, or otherwise) that limit country support, including promised co-financing.	Medium	Medium	Medium	<ul style="list-style-type: none"> Identify and engage high-level project champions who can successfully advocate for the country commitments to be upheld. Sensitize relevant decision makers on the relevance of successful EDA Project implementation in advancing national efforts to benefit from increased climate finance flows.
Socio-economic	Project staff, stakeholders and their families being affected by the COVID-19 pandemic, resulting in slowdown in implementation.	Medium	Medium	Medium	<ul style="list-style-type: none"> Continue/strengthen practice of in-country EDA team members providing backstopping support for other members. Leverage project decision making structures as well as identified project champions to resolve implementation challenges that require high-level intervention.
Institutional/ Technical	Unmet capacity needs within EEs and project partners.	Medium	Medium - High	Medium - High	<ul style="list-style-type: none"> Identify and fill critical capacity gaps within EEs and relevant partner entities in order to advance project implementation in keeping with key project standards and performance metrics.
Institutional/ Technical	Competing priorities of SP staff and financial resource constraints that affect commitments made.	Medium	Medium - High	Medium - High	
Institutional/ Technical	Weak inter-agency coordination.	Medium	Medium - High	Medium - High	<ul style="list-style-type: none"> Identify and agree on project roles and responsibilities with key stakeholders and ensure they are routinely engaged. Identify and execute strategies for improving communication, coordination and supervision across national and regional levels.

Risk Category	Risks	Probability	Impact	Risk Rating	Suggested Risk Response Measures
Governance/ Political	Environmental bills not enacted	Medium	Medium - High	Medium - High	<ul style="list-style-type: none"> Identify and engage high-level project champions who can successfully advocate for the country commitments to be upheld. Sensitize relevant decision makers on the relevance of successful EDA Project implementation in advancing national efforts to benefit from increased climate finance flows.
Governance/ Political	Lack of/Inadequate political buy-in and intervention to resolve project issues and ensure necessary support is provided for fast-tracking implementation.	Medium	High	High	
Environmental	Natural and man-made hazards/disasters (e.g., hurricanes, heavy rainfall events)	High	High	High	<ul style="list-style-type: none"> Develop disaster response plan with clearly defined roles and responsibilities for key stakeholders.
Environmental	Project stakeholders (e.g., service providers) not adhering to environmental, social and other related consideration outlined in the ESMP	Low	Medium	Medium	<ul style="list-style-type: none"> Fill M&E capacity gaps in EEs and project partners as required. Execute M&E functions under the guidance, supervision and oversight of the OECS Commission and the AE.

3.2.3.11 Environmental and Social Safeguards

Environmental and Social Safeguards Framework

The Environmental and Social Safeguards (ESS) Framework for the EDA Project is robust, and includes an ESS Policy, Gender Policy, the Code of Conduct and Ethics, the Complaints Mechanism²⁹, a Stakeholder Consultation Strategy, and the Risk Register. In 2017, an Environmental and Social Management Plan (ESMP), including a Gender and Social Inclusion Action Plan (GAP), was developed for the EDA Project, which detail project screening procedures, monitoring and evaluation principles, and roles and responsibilities for ensuring ESS compliance. The ESMP for the EDA Project aligns well with the policies in place by the AE to guide Environmental and Social Risks and Impacts as well as the GCF's ESS policies. Key aspects of ESS and gender risk management under the EDA project are:

- Environmental, social and gender considerations reflected in the application templates.
- The national decision-making committee includes at least 1 woman and 1 person with disabilities from a CSO/NGO to represent these key issues on the decision-making body.
- The evaluation criteria used by the national decision-making committee include environmental, social and gender considerations (see Table 3 of the FAA on criteria and guidelines for the selection of EDA activities by the decision-making bodies).

The AE has been accredited by the GCF Board to carry out Funded Activities that fall within the following Environmental and Social Risk Categories: Medium risk (Category B/Intermediation 2 (1-2)), including lower risk (Category C/Intermediation 3 (1-3)) (AMA, 2018). Table 11 of the funding proposal shows that Outputs 1, 3 and 4 have Category C rating, which signifies that no adverse environmental, social and gender impacts are expected from the outputs' activities. Output 2 has a Category B rating, signifying those potential adverse impacts could result, however these are expected to be few in number, small scale and less widespread. These impacts are expected to be reversed or mitigated through the

²⁹ The Project is currently using the DOE ATG's Complaint Mechanism as none have been established as yet for Dominica and Grenada.

Environmental Impact Assessment physical planning requirements³⁰. The ESMP includes an environmental, social and gender screening checklist developed to assist applicants with considering environmental and social factors for Outputs 2, 3 and 4 activities. The checklist assesses ESS risks in relation to the following criteria: *Compliance with the Law; Access and Equity; Marginalized and Vulnerable Groups; Human Rights; Gender Equity and Women’s Empowerment; Core Labour Rights; Indigenous Peoples; Involuntary Resettlement; Protection of Natural Habitats; Conservation of Biological Diversity; Climate Change; Pollution Prevention and Resource Efficiency; Public Health; Physical and Cultural Heritage; and Lands and Soil Conservation.*

Compliance with the ESS Framework

In addition to having the requisite ESS framework in place, the Project has undertaken several measures to ensure ESS compliance. Notwithstanding, as implementation improves, the capacity of some project teams will need to be enhanced to facilitate conduct of the requisite ESS activities. The Project routinely reports on performance in relation to ESS and gender standards in the APRs as well as in M&E reports. Additionally, a draft ESS report is being prepared, with completion targeted for June 2022. To date, there is evidence of the Project instituting relevant measures to ensure compliance with the pertinent ESS standards as outlined in Box 3.12. These measures are geared towards ensuring, *inter alia*:

- Transparency of national decision-making processes.
- Non-discrimination, equal opportunities and inclusion of persons with different abilities.
- Minimization of ESS risks.
- Inclusion of EBA approaches.
- Exclusion of disallowed activities.
- Equitable selection criteria for EBA, grants and loans.

Box 3.12. Examples of steps taken by the Project to comply with ESS Framework

- ESS-related clauses embedded into the RFPs, TORs and Job Advertisements, and contracts.
- Sensitizing contractors on ESS requirements and contractual clauses.
- Supervision of Output 2 contractor in Antigua, to ensure ESS compliance, among other things.
- Community consultations to educate, sensitize and address community feedback.
- Establishment of a Grievance Mechanism.
- Solicitation processes, which are open to women and vulnerable groups.
- Implementing alternative arrangements (e.g., design changes) to avoid the need for mandatory relocation of residents and/or businesses.
- Involvement of women and other vulnerable groups in Project activities and the maintenance of gender disaggregated data across project activities.
- Conditions and/or clauses in (draft) contracts, loans agreements and grant applications that specify the need for ESS adherence.
- Protocols for shelters that make special provisions for women, children, the elderly and the disabled as well as highlight the importance of compliance with environmental and social protection criteria.

Furthermore, IE consultations have revealed that owing to staffing constraints (e.g., low staffing numbers, full workloads) in DOM and GRD, additional support will be required to ensure effective monitoring of project activities and adherence to ESS guidelines, as implementation picks up for Outputs 2, 3 and 4.

³⁰ Activities to be funded under Output 2, estimated to have a risk level of Category B, are required to conduct Environmental Impact Assessments (EIAs) which include social and gender aspects for endorsed Concept Notes. The EIAs are part of the development approval process (FA, 2018).

3.2.3.12 Monitoring and Evaluation

The EDA Project Agreement (FAA 2019) requires a multi-layered Monitoring and Evaluation (M&E) framework reflective of the Project outputs (national to local levels), the multi-country reach, monitoring, evaluation and reporting requirements, associated assessment and monitoring tools, and the supporting institutional framework required for its implementation. A robust monitoring, reporting, evaluation and learning framework was a key requirement and feature of the EDA Project at design. The AMA (2018) required that the Project’s learning processes be supported by a specific M&E plan for each pilot at the country level, where key performance indicators will be specifically designed (FAA, 2019). Requirements included the LF, performance indicators for *Outcomes, Outputs, Activities* and *Inputs* at the Project level, means of verification, and M&E arrangements and responsibilities across the multiple entities involved.

The institutional arrangements for M&E implementation reflect outsourcing of key functions to the OECS Commission who in turn support the DOE ATG (as AE) and project countries in executing their responsibilities. The institutional arrangements for M&E defined at project design reflects outsourcing of M&E functions to the OECS Commission over the period March 1, 2020, to February 29, 2024, to provide monitoring processes and evaluation services to the Project. Project officers with M&E responsibility (M&E focal points) in each country liaise with the M&E consultant (OECS Commission) to complete M&E tasks such as the baseline assessment. The DOE ATG (in the capacity of AE) remains responsible for the completion of all M&E activities under the Project. The institutional arrangements varied from country to country. At the DOE ATG, for example, the arrangements were more layered, with multiple staff with direct responsibility for M&E, whereas in the other project countries the team member with M&E responsibilities (Project officers) has other Project responsibilities (Figure 3.15).

Figure 3.15. EDA Project M&E Structure

DOE ANT (AE)	Project Countries	OECS _ Project Management Unit
<i>Overall Responsibility for M&E [FAA, 2019]</i>	<i>Country -specific responsibilities for M&E [DOM SA,2019] [GRD SA, 2019]</i>	<i>Contracted by the AE to provide monitoring processes and evaluation services [FAA, 2019] [DOE ANT OECS Contract for Services, 2020]</i>
M&E IMPLEMENTATION		
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Monitoring & Evaluation Consultant</div> <div style="border: 1px solid black; padding: 5px;">M&E Focal point – DOE</div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Project Officer, Dominica</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Technical Officer, Dominica</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Project Officer Grenada</div> <div style="border: 1px solid black; padding: 5px;">Technical Officer, Grenada</div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">M&E Consultant, OECS EDA Project</div> <div style="border: 1px solid black; padding: 5px;">Head of M&E – OECS M&E Officer</div>

The EDA Project established a rigorous system for M&E from project design that was refined at inception, with interconnectedness to Project Output 1. The EDA Project utilises a two-pronged approach

to M&E that comprises performance monitoring and performance evaluation. The robust system established since project inception provides the mechanism to track project implementation for a complex project, with multiple data sources and streams. The EDA Project also sought to facilitate sustained access to climate financing, reflected in the various M&E components designed to demonstrate capacity and build a track record in each of the project countries that was supported by the activities of Output 1. The system design considered variations in country capacity and planned for capacity development informed by the completion of country capacity assessments.

Capacity for M&E implementation varied across the project countries, with significant gaps, identified at inception and during the M&E baseline assessment, that limited the Project's ability to execute some M&E functions. EDA countries, except for ATG, did not have specific and distinct M&E staff in the key focal point Ministry, or a section dedicated to M&E. Most of the staff on-boarded in the project countries were new to M&E, and largely focused on activity monitoring (via Smartsheet) with limited to no experience in results-based monitoring (RBM) approaches, including the requirements specified by the GCF. The gaps in understanding or approach to M&E limited the ability of the team to establish systems, information collection and communication with stakeholders relating to results-based monitoring. The baseline assessment determined that project teams, except for DOE ATG, seemed to lack specific tools for monitoring and collating information and for engaging with stakeholders to report and to receive data related to project activities. Even for DOE ATG, there are some areas for improvement despite having all the areas of review covered in terms of capacity and/or personnel.

M&E Implementation

At mid-term the Output 1 M&E related activities were 29% completed (DOE SmartSheet, accessed March 2022). The Project successfully recruited and on-boarded an M&E Consultant, resident within the PMU of the OECS Commission, M&E Officers for DOE ATG, as well as Project Officers with M&E responsibilities in DOM and GRD. By May 2021, all EDA project coordination teams included someone with specific responsibility for M&E; with DOM being the last team to install this specific role. The OECS consultant led the development of the tracking framework and coordinated updates to the Logical Framework. An inception report, a baseline report, country M&E manuals, annual performance and quarterly M&E reports were prepared as key deliverables of M&E implementation. The draft baseline assessment, now with GCF for feedback and comments, provided clear recommendations for an M&E system and approach, process tools as well as training for the three countries. Outstanding activities include finalisation of the ESS and gender monitoring and updates, finalisation of country-focused manuals, and delivery of additional capacity development training. While the implementation delays experienced by the Project limited the IE's ability to assess the contribution of the M&E data to the achievement of results, the Project made capacity development investments in the target countries and the OECS Commission that will position the countries and the region to achieve results. For example, the M&E Capacity Needs Assessment survey was completed to facilitate strengthening of country systems. M&E reporting in the EDA Project currently happens at two levels: (a) activities progress reporting through Smartsheet and (b) progress and results reporting through the Annual Progress Report (APR). Though all key project personnel are linked into and have some access to Smartsheet, reporting that focusses on results at the country level is still limited and somewhat inconsistent.

To facilitate clarity around roles and responsibilities while building country ownership of M&E tasks, the Project utilised an M&E matrix developed by the OECS Commission. The matrix is an excel-based workbook with eight spreadsheets, the first covering instructions to the country M&E teams linked to each of the remaining spreadsheets that covered all levels of project indicators from the Project's log

frame, the ESMP, Risk Assessment, and the Gender Action Plan (GAP). The instructions spreadsheet also identified the responsible officer and provided instructions on what and when each M&E task should be conducted (See Figure 3.16). The M&E Matrix workbook was also designed to serve as a *tracking tool* for project and country-level performance indicators over the LOP.

Figure 3.16. M&E Matrix

Tab #	Title	Responsible	Instructions
H.1.1	Paradigm Shift	M&E Officer	The M&E officer is to compile the outcome level indicators data before the APR using the information provided by the teams in compiling H.1.2 data
H.1.2	Outcomes, outputs, activities	M&E Officer	The M&E Officer to complete the tab before the APR is presented using the input from M&E focal points while compiling the national tabs. The % progress will be calculated directly using quantitative
H.1.2 A&B	Antigua & Barbuda Outcomes, outputs, activities	M&E focal point for A&B	A month before the APR is to be presented the A&B M&E focal point to fill in the APR2 & 3 column providing quantitative data on column J, L and N and descriptive information on columns K, M & O
H.1.2 Dominica	Dominica Outcomes, outputs, activities	M&E focal point for Dominica	A month before the APR is to be presented the A&B M&E focal point to fill in the APR2 & 3 column providing quantitative data on column J, L and N and descriptive information on columns K, M & O
H.1.2 Grenada	Grenada Outcomes, outputs, activities	M&E focal point for Grenada	A month before the APR is to be presented the A&B M&E focal point to fill in the APR2 & 3 column providing quantitative data on column J, L and N and descriptive information on columns K, M & O
SDG Monitoring	SDG Monitoring	M&E Officer	UNDER REVIEW. TO BE DETERMINED DURING THE BASELINE ASSESSMENT
ESMP	Environmental and Social Management Plan	M&E Officer	The M&E Officer is to complete the overall ESMP with the information provided by M&E focal points at country level
ESMP A&B	Environmental and Social Management Plan for A&B	M&E focal point for A&B	The M&E focal point to complete columns F & G corresponding to APR 2 and APR 3 two months before APR is due to OECS
ESMP Dominica	Environmental and Social Management Plan for Dominica	M&E focal point for Dominica	The M&E focal point to complete columns F & G corresponding to APR 2 and APR 3 two months before APR is due to OECS

The M&E Baseline Assessment carried out between December 2020 and May 2021 updated the baseline for project indicators, identified key gaps and informed recommendations for the systematisation of an M&E approach and framework for the EDA project, particularly at the country level. The original baselines for result indicators, as outlined in the FA (2018), were all set at zero. This is the case for *Paradigm Shift Objectives and Impacts at the Fund level* (fund level impacts), for *Outcomes, Outputs, Activities, and Inputs at Project/Programme level* (project/programme level outcomes) and for *Project/Programme Level Outputs*. The baseline for these indicators were updated with significant adjustments for ATG, and modest updating for both DOM and GRD. The baseline also identified several gaps that are further detailed in the section on challenges that follow. Table 3.11 summarises the areas reviewed, and the actions taken.

Table 3.11. Summary Review of Findings for EDA Project Teams and institutional structures

Areas of Review	Assessment by observation and response on M&E			Status at Mid-term
	Antigua & Barbuda	Dominica	Grenada	
M&E Support Staff	Yes	Yes	Yes	No additional action
Dedicated M&E specific staff	Yes	No	No	Staff on-boarded with M&E responsibilities.
M&E Systems in place	Yes	No	No	Capacity built to adopt and utilise the M&E matrix and other tools.
M&E Knowledge and Capacity available	Yes	Limited/No	Limited	M&E 101 training conducted by the OECS Commission. Additional one-on-one sessions

Areas of Review	Assessment by observation and response on M&E			Status at Mid-term
	Antigua & Barbuda	Dominica	Grenada	
				held. OECS Commission Consultant LOE adjusted to allow additional support to the project country teams.
Understanding of/Exposure to RBM	Yes	No	No	M&E 101 training conducted by the OECS Commission.
M&E Tools Available and in use	Yes	No	No	Capacity built to adopt and utilise the M&E matrix and other tools.
Provision of Baseline Data	Yes	Yes	Yes	Staff supported the generation of baseline data.
Provision of Means of Verification Documentation	Yes	Limited	Yes	Agreement on means of verification done. Not all supporting data for verification was accessible in Smart Sheet.

Training and capacity development activities were implemented to address M&E capacity gaps, while mentoring the country teams through key deliverables such as completion of the baseline. An exercise conducted on the Baselines and Means of Verification (MOVs) with country teams in April/May 2021, two issues that project teams requested specific support on, clarified gaps in understanding of the type of information required, the evidence that was necessary to support the updating of baselines and some underlying misunderstandings of what MOVs were or what were the best types. All teams provided information in May 2021 to update the project baselines and provided suggestions for updated MOVs that also better matched the indicators and/or results.

Key M&E Challenges

Knowledge, skills and exposure to M&E principles varied across the three EDA Project countries with ATG being slightly more advanced than GRD and DOM. At mobilisation the expected capacity for M&E implementation was absent or limited in some project teams as several persons with M&E responsibility reported little to no exposure to training or other forms of capacity building. This slowed the pace of M&E implementation and required additional level of effort from the OECS M&E consultant to deliver M&E 101 training, and to provide additional mentorship and handholding, complemented by tools such as the M&E matrix.

Capacity limitations in EDA Project countries delayed M&E implementation and required additional training to address capacity gaps. Significant gaps in capacity of the Project’s staff limited M&E implementation. Staff had limited or varying understanding of the concept of results-based management. M&E understanding was not as robust as it should be, with few persons with M&E responsibility indicating little to no exposure to training or other forms of capacity building

Gaps in the collection of disaggregated data limited the Project’s ability to inform its actions at the project and policy levels, including the Gender Action Plan (GAP). Across the Project’s stakeholder groups and countries, there was limited collection and availability of the disaggregated data needed to inform planning and policy action. While some disaggregated data are available in project countries, some service providers are less robust in their collection of some data types, such as sex or gender-disaggregated data. Other data gaps identified in the Capacity Needs Assessment included disability and household leadership. This hampered the ability of the Project to be responsive to organisational policy,

to meet the requirements of national policies and international commitments as well as to assess the progress in meeting the requirements of the GCF, including the GAP.

3.3 Coherence in climate finance delivery with other multilateral entities

The baseline context for the EDA Project emerged from the CARIFORUM-EU Declaration on Climate Change Project (2008) and the Paris Agreement (2015). The EDA Project is also synergistic with the EU-funded Global Climate Change Alliance (GCCA) Project Implementation Plan for the CARICOM Regional Framework for Achieving Development Resilient to Climate Change (RFADRCC) of 2009. The RFADRCC (2009) formed the overarching framework for the regional approach to climate change resilience that was justified by the low percentages of channelled funds that flowed into the Caribbean due to the absence of established climate finance capacity and infrastructure. A total of US\$1,477 million in climate related finance was channelled to the Caribbean SIDS between 2010–2015, of which only 6% of total reported aid flows to the region and this was a direct outcome of the lack of climate finance accredited entities within the Caribbean region to receive, programme and manage climate funds that build low-carbon climate resilience (Atteridge, Canales & Savvidou 2018). This shortfall in capacity to address the CC eventualities was directly addressed by the Paris Agreement of December 2015, out of which the AF, GEF and GCF emerged as global solutions to address the lack of climate expenditure within respective local fiscal frameworks. Within this context, the establishment of climate finance options, including blended financing, that provides resources on the ground and at the MSME levels has been a significant step in the right direction.

The plans for establishment of AEs within DOM and GRD is well aligned with, and carries on from the Commonwealth Climate Finance Access Hub agenda, which focused on establishing climate finance capacity within ministries across Participating States. The Commonwealth Climate Finance Access Hub helps countries to unlock the available climate finance. Through this initiative, small and vulnerable member states are assisted to bid for and gain increased access to climate finance. The establishment of direct access entities with accredited institution status offers the leveraging of such capacity to form the backbone for a GCF accredited institution.

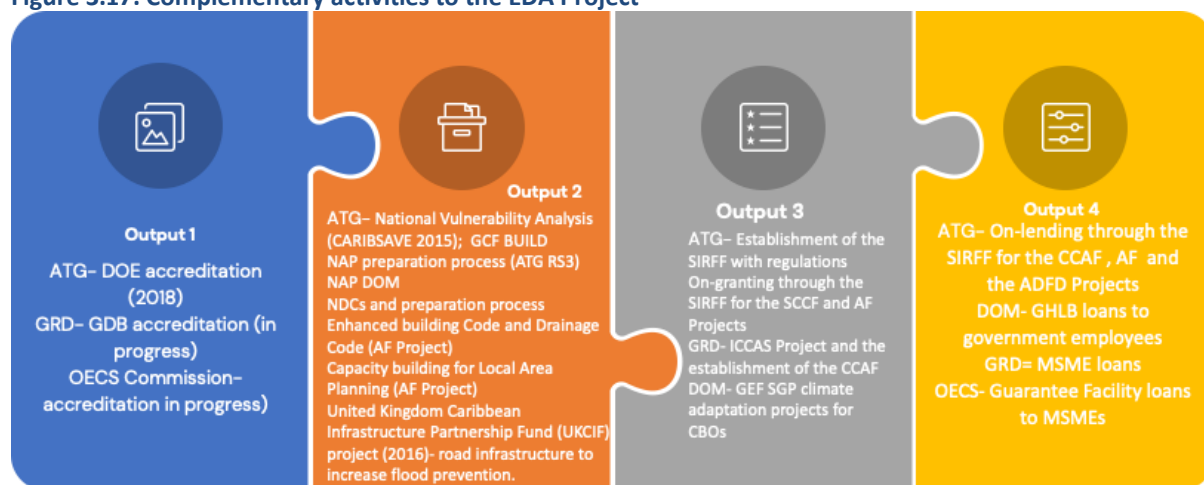
Evidence from the three EDA Project countries highlight the coherence of the EDA Project with previous projects and other initiatives that either built supporting infrastructure, track record and/or piloted actions for upscaling in order to build the countries' climate resilience. All three EDA Project countries have developed or have drafted their NAPs³¹ as well as NDCs³² and NDC updates, and these documents provide the direction for climate action and climate change projects. CC resilience expenditure financed by the United Kingdom Caribbean Infrastructure Partnership Fund (UKCIF) project (2016) in ATG was one example of a public sector climate resilience project that has focused on addressing issues of flood prevention. Output 3 of the EDA Project is also consistent with other projects in the three EDA countries that have focused on advancing climate action with CBOs. In GRD, the UNDP/GIZ supported Integrated Climate Change Adaptation Strategies (ICCAS) Project sought to institutionalize a climate change adaptation fund in GRD advanced some 37 projects with CBOs to build climate resilience. In ATG, various assessments and studies were conducted to guide the country's efforts in building climate resilience,

³¹ Grenada NAP 2017-2021; ATG NAP (current underway); Dominica's NAP process (currently underway)

³² Initial NDCs submitted by all three countries; updated NDC submitted by Grenada

including a national vulnerability analysis for ATG (CARIBSAVE 2015) and the GCF-funded NAP development currently ongoing. The Environmental Protection and Management Act (EPMA, 2019) legally established the SIRFF, and whose regulations (2019, 2020) made provisions for both on-lending and on-granting. The SIRFF is also a mechanism through which the DOE can manage such initiatives within the OECS Union. The SIRFF has a track record working with the CCCAF and AF in other geographic areas of ATG. Further to this ATG’s readiness efforts with the GCF (2018) has afforded it the status of DAE with the Fund, having met accreditation conditions and has accessed other GCF funds. In DOM, the SGP, administered by the UNDP/UNOPS, has over the years provided financing to CBOs for climate change projects and its institutional arrangements allow for multi-stakeholder input to the selection and monitoring of the grants. Figure 3.17 provides examples of activities with linkages to the EDA project outputs, while Annex 9 provides more details by country.

Figure 3.17. Complementary activities to the EDA Project



The revolving loan disbursement facility forms part of a deliberate attempt by the GCF to facilitate increased access to climate finance by the most vulnerable in society. According to the FA (2018), revolving fund loan demands in the three EDA countries is valued at USD 213 million for this segment of the private sector. As a response to this demand, the World Bank-funded OECS MSME Guarantee Facility Project with an effective date of July 12, 2019, is complementary to Output 4 of the EDA project, and forms part of a suite of credit facilities that facilitate loans at the MSME level. At the macro level, the EDA project is consistent with the development mandate of facilitating economic recovery and resilience via the use of concessionary loans at the bottom of the pyramid thereby facilitating greater adaptation and mitigation at those income levels currently underserved by the existing mainstream financial intermediaries. All three countries have had experience with revolving loans through their preferred service providers for the EDA Project. The SIRFF has had experience with administering R/Ls for climate action in ATG.

3.4 Gender Equity

At mid-term the Project made progress towards the target of 50% of its beneficiaries of adaptation and resilience building measures being women. While the overall uptake of the loan programme is well below the planned target, of the 20 loans approved by the SIRFF in ATG to date, project data indicated that 65% of the recipients were women. This was attributed to the women being more focused on addressing the household’s need to repair, and a greater openness to the product. Fund managers report

that men asked a lot of questions about the terms and legal conditions to be met, with a view to “getting more” from the facility. It was also noted that the majority of the members of the Regional PMC were women.

The M&E Baseline Assessment (OECS, 2021) identified several gender-specific gaps and risks to be integrated by project officers across the countries to ensure gender equity and mainstreaming. In the preparation of the baseline assessment, the EDA Project was reviewed in the context of social and environmental safeguards and related risks (environmental and social risks or ESS) and gender risks. Across all three countries the baseline assessment revealed several risks for critical consideration, especially given the limited ESS monitoring to date. These risks as outlined in the baseline assessment include (i) Discriminatory employment practices, which could affect female headed households, persons with disabilities, and Kalinago persons more than other groups, (ii) the risk of gender based violence (GBV) arising from environmental projects and due to tensions relating to access to benefits, a focus on women and or the stress from multi-hazard risks, (iii) the variability of workplace protections in the countries including protections from workplace harassment and access to maternity leave (in terms of number of days as well as % paid out), (iv) the persistence of poverty, (v) the flawed assumption that all public sector interventions based on ecosystem-based adaptation (EbA) will only have positive externalities.

The EDA Project prepared its GAP that explicitly outlines the mix of actions to ensure gender and social inclusion considerations are effectively integrated in project implementation, however its implementation was delayed. The Project’s GAP highlights actions in five main areas that focus on gender rights and participation, sustainable and gender-responsive procurement, gender-based assets and education, leadership and decision-making and governance as well as livelihoods. However, from the inclusion perspective the specific needs of Kalinago people, and Kalinago women especially, including their representation on decision-making bodies was not fully developed in the GAP. The Project’s communication strategy was also developed using a gender sensitive approach to ensure that the EDA Project does not reinforce or worsen gender inequality in its communication products. However, the delays in project implementation affected the implementation of the GAP and the evaluation of performance data describing women’s voice as advocates, and agents of change at the household and community levels for climate resilience.

Gender mainstreaming across the Project countries varied and is a function of the country and organisational context and capacity, however several actions were taken to integrate gender consideration up to the time of the IE. Both GRD and DOM have a Gender Policy, and although the DOE ATG has one, there is none for ATG. Conversely, MOE DOM and MOE GRD lack an overarching guidance document that define how gender considerations are integrated in the context of their work. The OECS Commission, as part of its accreditation to the GCF, has a new Gender Policy and manual and has also hired a Gender Specialist and established important governance and coordination mechanisms to improve gender mainstreaming and accountability for gender in the work of the Commission. The M&E baseline assessment (OECS, 2021) determined that familiarity with key gender terms - such as gender equity, gender equality, gender parity, gender balance and their implications for EDA monitoring and reporting is quite high across the countries. Interest in gender-sensitive monitoring is also quite high, with most stakeholders indicating interest in expanding their capacity. For the project activities implemented to date, several specific gender-sensitive actions taken included:

- Training for women and vulnerable groups to identify, implement, monitor, and evaluate adaptation strategies and measures.

- Training of women, persons with disabilities (PWDs), indigenous people, other vulnerable groups on how to access and utilize the complaints mechanism and empower them as "allies" within their communities to share this knowledge with others who are likely to benefit.
- Nomination of 1 woman and 1 PWD/vulnerable group from an NGO/CSO to the ATG Steering Committee (oversight function).
- Requiring that Environmental Impact Assessments ("EIAs") to include gender and social inclusion assessments and action plans.
- Providing entrepreneurship training for women, PWDs, and other vulnerable groups in services related to delivery of climate change information, adaptation and resilience services, e.g., EIAs, construction, project management, procurement, M&E, etc.
- Enforcing inclusion requirements in the sustainable procurement of goods and services to include a fixed percentage of women and PWDs in tenders to ensure that they benefit from economic opportunities created through the construction and agricultural sectors.
- Designing an integrated health and wellbeing outreach programme for women, PWDs, and vulnerable groups directly related to climate change risk management and resilience.
- Nominating a CSO/women's organization representative to the Loans Board decision-making body.
- Designing the M&E system, including the M&E Matrix, and the associated results tracker to include a separate sheet for the gender indicators, however this was not operational at the time of the IE.
- Modifying SIRRF RL application forms and templates to collect gender-sensitive monitoring data that aid applicant evaluation and decision making (e.g., the SIRF Fund Project Identification Form (SPIF)).

3.5 Country ownership of projects and programmes

The EDA Project's design is reflective of, and in alignment with, country efforts to promote leadership and ownership of climate adaptation actions as reflected in the climate change framework and strategy documents of all three project countries. The three countries have ratified the Paris Agreement (2015) and in all cases the Project activities complement national efforts towards achievement of country NDCs and national and sub-regional policies. Since the EDA Project approval in 2018, the implementing countries continue to develop laws and policies to adapt to the projected impacts of climate change. GRD has completed its National Adaptation Plan (NAP) and Nationally Appropriate Mitigation Action (NAMA) whilst DOM and ATG have started their NAP development processes, prepared a Strategy for the Water Sector (2015), and prepared the Building and Drainage Codes revisions (2019) under the AF McKinnon's Project. In DOM, the Government seeks to become the first climate-resilient country in the world and passed the Climate Resilience Act #16, 2018, which established the statutory government Climate Resilience Execution Agency for Dominica (CREAD). In 2018, DOM also established a new Ministry of Environment and Climate Resilience, and in 2019 launched the 2030 National Resilient Development Strategy (NRDS) following on the Low-Carbon Climate Resilient Development Strategy, 2012 (LCCRDS), which encapsulate the vision for a climate-resilient country. Similarly, in GRD in 2018, the country established a new Ministry of Climate Resilience and in 2019, the Grenada National Sustainable Development Plan 2020 - 2035 was approved, which sets out the vision for sustainable development and long-term transformation through sustainable economic, social and environmental progress and climate resilience for all. GRD has a revised Building Code (2016) and a National Climate Change Policy (2017-2021) as well as a NAP (2017) for Grenada, Carriacou and Petite Martinique. The countries also rely on the Caribbean Regional Strategic Program for Climate Resilience and each country has its NDC, to which

the EDA Project contributes. The Project is also aligned with several Sustainable Development Goals (SDGs),³³ and the GCF's Investment Criteria and Results Framework.

NDA's have been actively involved in the EDA Project from its conceptualization to implementation, less in their capacity as NDA and more in relation to project oversight and activity implementation. They remain informed of project progress and challenges. NDAs provided endorsement for the FP (2018) at the time of submission. DOM's NDA focal point is a current member of the PMC, and participates in the activities, following its progress through the updates. GRD's NDA focal point is also the co-Project Manager and is located in the DETC, MOF. The GRD FP is also deeply involved in the EDA Project, is a member of the PMC and leads on specific project activities. The FP also provides support to the PMU staff. In ATG, the GCF FP is a member of the PMC. NDAs in both DOM and GRD have little interaction with the DOE for this project.

In all three project countries, vulnerable areas (communities) and people have been prioritized as beneficiaries for participation in project activities, with strategies for effective participation being integrated to secure the ultimate success of the EDA Project. Given the impacts of climate change on the most vulnerable, project activities, especially those within Outputs 3-4 target the most vulnerable, providing shelters during times of adverse weather events and facilitating upgrades to individual homes and small businesses that allow these stakeholders to become more climate resilient. Efforts associated with Output 2 will reduce the impacts of flooding in various vulnerable areas.

The EDA pilot promotes country ownership of projects and programmes by empowering stakeholders with climate finance decision-making in ways that address the countries' climate needs. The successful implementation of the FA (2018) is hinged on an institutional framework that integrates decisions of service providers, a TAC and a PMC and involves a range of diverse stakeholders. The TAC and in ATG PMC predated the Project. In all three countries the service providers have established track record for both on-granting and on-lending. This experience, coupled with GCF guidelines and criteria for selection of projects, seek to select transformational projects that will build climate resilience. In DOM and GRD, additional effort was made to ensure that Output 2 PSIP Projects had a climate lens. In fact, there were projects that were not recommended to go forward in GRD, as the environmental impact was not clear. The PMU in both countries also had to support development of the proposals as the capacity of line ministries was limited.

At mid-term limited progress was made in several design elements and outputs of the Project that were to reflect country ownership, including the development of six transparent sustainable financing mechanisms and the accreditation of three direct access entities in the Eastern Caribbean, including for on-granting and on-lending accreditation. Despite efforts of the DOE ATG (acting as EE for Output 1) at mid-term advances to create or enhance three sustainable financing mechanisms resulted in 1 financing mechanism being established. In ATG, a new and updated Environmental Protection Management Act (EPMA, 2019) was passed by Parliament, legally establishing all of the required legislation for the operationalizing of the SIRFF. The SIRFF is integral to the EDA Project, and it is through the Fund that the DOE can manage on-granting and on-lending within the OECS Economic Union. A Term Sheet was submitted to the SIRFF Board for the management of Output 4 of the EDA Project in ATG. At mid-term the OECS Commission submitted its accreditation application and is awaiting GCF response, and Dominica

³³ SDGs 1,3,5,8, 10, 11,12, 15, 16

formally identified the MOE DOM as the national entity for accreditation. Grenada formally identified two national entities the MOF GRD and MOE GRD for accreditation, However the completion of this activity could be significantly impacted by the time remaining for project implementation. At the time of this IE the drafted TA agreements remain unsigned, with negotiations ongoing toward an imminent signing. Anticipated areas of TA delivery include capacity needs assessment and gap analysis, establishment of project oversight mechanisms, completion of accreditation checklists, training and awareness building on accreditation, and the documentation of project lessons learned (draft TA 2021).

Subsidiary Agreements with project countries document country commitments that leverage resources to complement project implementation, however at mid-term this was not fully realised. Although at December 2021, the Project was 10 quarters into a 16-quarter implementation timeline, of the total co-financing budget arising from the FAA (2019) the Project generated co-financing in the amount of US\$402,270.34 or 15% of the planned sum, with the greater portion of this contributed by ATG. The Project is anticipated to benefit from US\$18.5 million in co-financing, in-kind support and leveraged funds. Planned co-financing was estimated at US\$ 2,569,360, while in-kind support and leveraged funds would amount to US\$ 15,930,640. Governments are expected to provide counterpart and in-kind support of US\$6 million for Output 1 and Output 2. A review of co-financing reports produced for the countries as well as other monitoring reports that track in-kind support and leveraged funds determined that co-financing was behind relative to the schedule as outlined in the FAA, 2019. Of the total co-financing budget arising from the FAA, 2019, the project had incurred cost of US\$402,270.34 or 15% of the planned sum, although the project is 10 quarters into a 16-quarter implementation as of December 2021 (Table 3.12).

Table 3.12. EDA Project co-financing to date

	2019	2020	2021
Dominica			\$ 117,680.34
Antigua			\$ 176,315.00
Grenada	\$28,800.00	\$79,475.00	
Total	\$28,800.00	\$79,475.00	\$ 293,995.34

Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and SPs for Outputs 2, 3 and 4. However this process was extended due to deliberations with, and external to, the countries that impacted the achievements of the intended results. Complementary activities to the EDA Project will further enhance the EDA outcomes such as the climate smart country activities in Grenada via a Climate Smart Cities Approach. Through this approach the Grenadian government utilised funding from the German Agency for International Corporation (GIZ) to undertake a gap assessment to determine the best suited government entity for GCF accreditation designation. National representatives from GRD, ATG and DOM attended the Global Water Partnership workshop on developing GCF proposals in Panama, September 3-5, 2019. Case studies were presented on the challenges, limitations and case driven solutions that would enhance the coordination of National Designated Authorities/entities by an AE within a GCF framework. Exposure to the GCF's investment criteria, financing facilities, modalities, and operational procedures for the delivery of climate financing provided base understanding upon which the EDA implementation could benefit from especially for the revolving loan facilities.

For all outputs, service providers' capacity provided significant value, in terms of existing policies and procedures, management and administrative capacity, technical support, and past engagement with

stakeholders. For Output 2, the PSIP Unit of the MOF in GRD provided critical support to the PMU, including sorting out the arrangements for the opening of the Project's bank account, (ii) ensuring project staff were able to connect with relevant personnel in the various line ministries in support of TOR development, and (iii) assisting in the development of implementation plans. Also in GRD, the Environment Division had previously implemented 27 community projects between 2012-2016 with the CCCAF under the ICCAS Project. For Output 3, in DOM, the GEF SGP brought many years of experience working with CBOs to implement climate change adaptation projects at the community level. The DOE PMU and SIRFF in ATG already had experience working with CBOs and expanding shelters available during times of adverse weather. The SGP as service provider for Output 3 in Dominica provides technical support in the form of its NSC and has significant experience working with CBOs to implement climate change projects.

The importance of enacting environmental legislation as a foundation to much of the needed arrangements for an accredited entity cannot be overstated but both DOM and GRD lags with this critical element of readiness. Both DOM and GRD are expected to enact environment legislation as stipulated in their respective SAs (2019). Consultations revealed that the legislation has been drafted for both countries but have not been enacted. In DOM, the Cabinet sub-committee has been established to review the draft bill but has not yet convened its first meeting and there is no established timeline for completion. The bills are expected to contribute to GCF accreditation with establishment of institutional architecture, including oversight, technical staffing, a fund, development of appropriate policies and plans, establishment of an MRV system, among others.

The financing modalities being implemented under the EDA Project will give eligible stakeholders the opportunity to finance their housing necessities especially for building their resilience to climate change and will also prove that local institutions could deliver climate financing in a timely manner, enhancing their capacities. In ATG, the support to the private sector individuals and MSMEs is providing credit lines at concessional rates of 1.5% with a repayment period of up to 20 years, which is by far better than the commercial banks can offer and that would generally rule out the most vulnerable. The SIRFF having been established to deliver climate financing for on-lending already has a track record with funds from the SCCF and AF Projects. Similar credit lines are expected in both DOM and GRD, with service providers with strong experience being considered.

Modes of delivery of financing as designed were relevant and appropriate and included elements of the supporting enabling environment, modified country processes, use of country institutional structures and alignment with national and sub-national policies and plans. The three key climate finance mechanisms implemented under the EDA Project emphasised the importance of the enabling environment, including legislation, regulations, policies, procedures and systems. In ATG the establishment of the SIRFF through the EPMA (2019) and associated regulations was a major step towards its operationalisation and initial application for on-granting and on-lending with the SCCF and AF Projects. Similarly, in GRD, the CCCAF was established under the ICCAS Project and had its initial application with CBOs using the established structures and processes. For Output 2 PSIP projects, there were modifications to the PSIP process to incorporate climate considerations and for meeting GCF requirements. In all EDA pilot countries, the use of established institutional structures³⁴ and the strong alignment with national

³⁴ ATG- PMC, TAC, TEC, climate scenarios from downscaled data, LAP process and capacity of DCA built, Building and Drainage Code upgrades, NDC and NAP; DOM- NCCSC, Climate Change, Environment and Natural Resource Management Bill 2016, Carbon Climate Resilient

policies and plans. These were found in all three countries to varying degrees and in instances there is evidence of capacities being built.

3.6 Innovativeness in Results Areas

Innovation was reflected across the EDA Project result areas and was utilised to refine strategies and products to drive the transformative climate change adaptation objectives. The measures taken at the country level to enhance capacity for direct access pilots an approach to the delivery of climate financing, that moves beyond the financing of individual, bankable projects towards a more comprehensive, stakeholder driven and programmatic approach. This innovative approach includes the pilot of a strategy for overcoming barriers to climate finance delivery by devolving decision making at the country, local and sectoral levels, thereby allowing greater involvement and input from impacted stakeholders. In addition, the project approach provides predictability to when financing will be disbursed to direct beneficiaries while leveraging complementary sources of funding from the public, private, and CSO sectors.

The EDA Project demonstrated innovation around tools and processes such as the *M&E Matrix* that aided multi-country collaboration and ownership of M&E tasks and clarity around roles and responsibilities, the integration of electric cars to demonstrate renewable technology, and the use of decision-support tools and technology in the management of the ATG RL scheme. The M&E matrix is an excel-based workbook with eight spreadsheets, that included instructions to the country M&E teams to aid M&E implementation, and reporting against the Project’s log frame, the ESMP, risk register, and the GAP. The M&E Matrix was also designed to serve as a *tracking tool* for project and country-level performance indicators over the LOP. Innovation was also reflected in the Project’s procurement of electric vehicles that not only highlighted the use of renewable energy but was also an alternate method of branding and awareness. Another tool piloted by the Project is the loan tracking software, “Loan Assistant”, which is attached to Quick Books and sends messages to the loan recipient’s cell phone number detailing amount, due date and open balance and other key pieces of information. In the implementation of the SIRFF, a social development indicator was utilised to improve disbursement from the SIRFF. There was also increased use of technology to detail loan information, track loan repayment and communicate with recipients e.g., *Loan Assist App* and *WhatsApp*. In addition, the utilisation of *ability* and *willingness to repay* metrics (e.g., participation in local communal saving and loan revolving schemes) also informed the development of risk profiles that informed on the risk of default in beneficiary selection.

Strategic partnerships and engagements were also sources of innovation that supported the achievement of key project results. The unique partnership with the Construct Antigua and Barbuda Initiative (CABI), a statutory intergovernmental non-profit organization that offers materials for renovations and new homes with discounts up to 15% is an important innovation that advances the uptake of adaptation solutions in support of the Project’s resilience mandate. In addition, across the community organisations receiving grants for renovation and operation of disaster shelters the establishment of *Shelter Management Committees* that complemented the organisation’s mandates while securing the operationalisation of the resilience objectives.

The SIRFF RL, adopted an interest rate that made the facility accessible to vulnerable groups that had limited access to other lending instruments offered by other banks and lending agencies in ANT. The RL focuses on the vulnerable by utilising the very criteria that would disqualify applicants to the traditional bank. For example, histories of flooding that disqualified an applicant as an unacceptable risk would be used a criterion in providing the SIRFF loan in order to increase beneficiary resilience. In addition, the loan interest rate made the RL accessible to a range of potential applicants. This contrasts with other lending instruments offered by banks and financial institutions that are inaccessible to persons with low salaries.

3.7 Replication and Scalability

Although the EDA Project is severely behind, there are indications of project elements with features for replication and potential upscaling. The following represents some key project elements with support from the enabling environment and specific local context and with potential for replication and scalability:

1. **Local Area Planning Process:** in ATG, the DCA’s capacity to develop LAPs was built under the AF McKinnon’s Project and has been applied in the Cashew Hill Watershed. Development of LAPs should continue across watersheds in ATG, and a climate lens applied to them. The use of the Cashew Hill LAP to develop EDA Project activities is instructive and its documentation and lessons learned will help future similar initiatives.
2. **Use of technology for the ATG RL scheme:** Output 4 implementation in ATG is utilizing a loan tracking software, “Loan Assistant”, which is attached to Quick Books and sends messages to the loan recipient’s cell phone number detailing amount, due date and open balance and other key pieces of information that allows for ongoing communication with the beneficiary that could increase the success rate for payback.
3. **Use of a government statutory non-profit that supplies material and equipment at more affordable prices.** Output 4 implementation in ATG utilizes Construct Antigua and Barbuda Initiative (CAB-I), a government, statutory, non-profit as a financial mechanism for renovations and new homes, with discounts between 15 and 20 percent on materials. This has been helpful in protecting loan recipients from the rising cost as a result of the COVID-19 pandemic.
4. **Documentation of lessons learned included in APRs but not incorporated in planning and management:** Although the APRs captured lessons learned, there was no evidence of ongoing discussions on lessons and potential adaptive actions. IE recording of lessons learnt included use of adaptive management, the importance of strong communication and close working relationships, identification of capacity constraints and workarounds, good understanding of government processes and procedures, establishment of institutional arrangements with clarity on roles and responsibilities, setting realistic timelines that are reflective of country nuances and criteria-based selection of service providers.
5. **Use of a toolkit by the AE to support the accreditation readiness activities:** The AE developed a tool kit to support the accreditation activities in DOM and GRD. Additionally, for Output 3, the AE has produced an additional kit, which is being used to improve existing grant processes among the AE and EEs. This kit includes a revised grant manual, guidelines for the grant evaluation process and templates for grant process documents. As in the case of the multi-indicator tool, which is used to prioritise loan applications to ensure fair and equitable distribution of funds and track the changes in vulnerability as a result of the impacts of the project, lessons learned from

Box 3.13. CAB-I

CAB-I, which first became operational in August 2011, is domestic economic stimulus programme which incentivizes home ownership and property enhancements by way of a partnership between the Government and participating service providers. Through the exemption of the ATG Sales Tax (ABST) at the point of purchase and in-store discounts, CAB-I approved projects can benefit from savings of 15-20%.

the use of the accreditation and grants tool kits will be used to further scale up activities to support a paradigm shift in climate financing mechanisms. Grantees in ATG have been provided with grant writing training to aid them in their efforts to scale up and replicate. Such training will also be provided when Dominica and Grenada advance their Output 3 implementation process.

6. **Scaling up on-granting and on-lending schemes:** In ATG the EDA Project is replicating processes and using policies, procedures and systems for on-granting and on-lending in Outputs 3 and 4, respectively in ATG and the other two countries. This follows on ATG pilots under the SCCF and AF Projects, both being implemented through the SIRFF. Lessons learned from their application will also strengthen further replicability and these must also be documented.
7. **On-lending scheme that meets the needs of the most vulnerable:** The ATG on-lending scheme has been repackaged and implemented with the lowest possible interest rate loans to meet the needs of the target market. This is an important step towards meeting the needs of the most vulnerable.
8. **Important to EDA Project sustainability are the elements of country ownership, the reflow strategy, and the devolution of resilience decision making to the local government institutions, community groups and individual households and MSMEs.** There are also multiple facets of environmental, social, economic, and gender-sensitive sustainability embedded in the Project.
9. **Use of a Technical Advisory Committee for wider stakeholder engagement for climate change projects:** The TAC structure, through existing national structures such as DOM's NCCSC, GRD's NCCC and ATG's TAC, has varied in efficiency and effectiveness but offers a medium for multi-stakeholder engagement. This type of structure allows for participation of representatives from a range of organizations, with knowledge sharing and the opportunity for further cooperation and collaboration and additional support to project activities.
10. **South-to-South cooperation for building accreditation readiness capacity:** ATG's efforts with the Bahamas and the Maldives has paved the way and propelled ATG to support other SIDS in their accreditation readiness processes. This type of support, requiring significant handholding of country representatives, provides an opportunity for hands-on learning by doing.
11. **Adaptive management applied in establishment of the concessional revolving loan scheme for ATG:** Development and application of the terms of the RL programme for ATG utilized adaptive management actions through ongoing communication with loan applicants and recipients to better understand the context of those persons within the target vulnerable groups. Care was taken in making continuous adjustments to the loan criteria to meet the needs and requirements of the applicants and to allow enough flexibility to the repayment terms while reducing the burden of quick repayment of loans.
12. **ATG's Project Build (FP 133) is one example of replication underway.** The project funded by the GCF, introduces a transformative change in the country's approach to climate-resilience that will be achieved by: i) enhancing the climate resilience of critical public service and community buildings through increasing the structural integrity of these buildings to withstand Category 4 and 5 hurricanes; ii) ensuring the uninterrupted supply of power and water to critical buildings during extreme climate events; iii) mainstreaming climate change adaptation into the building sector as well as public and private financial, insurance and banking sectors; and iv) strengthening climate information services in Antigua and Barbuda to facilitate early action to secure non-category 4 and 5 buildings as early as possible after a hurricane warning has been issued. By focusing initially on critical public service and community buildings, the project will ensure the uninterrupted provision of critical services – including health, fire, rescue and police.

An opportunity to build greater cohesion between the EEs and the AE to provide additional benefit to enhance country implementation was not optimized. Another was the opportunity for ATG to replicate successful micro level climate financing for building climate resilience in the other two countries. Important to EDA Project sustainability are the elements of country ownership, the reflow strategy, and the devolution of resilience decision making to the local government institutions, community groups and individual households and MSMEs. There are also multiple facets of environmental, social, economic, and gender-sensitive sustainability embedded in the Project. The major delays encountered, and the slow pace of implementation pose a significant threat to sustainability and the intended country-level impact. The IE is therefore unable to determine whether the proposed actions will result in significant and sustained climate finance flows for the countries in the short to medium term.

3.7.1 Lessons and good practices

Lessons Learned

The IE identified the following key lessons learned from the EDA Project implementation to date:

1. Adaptive Management: It is important to build in enough slack and flexibility to make adjustments to the loan criteria to meet the applicant where they are while reducing the burden of quick repayment of loans.
2. Close working relationships and strong communication between Project teams in countries and government, non-government and private sector stakeholders are essential for timely submission of climate resilient project concept notes, proposals and other project contribution. This is important, recognizing the capacity limitations that exist.
3. Given the work required for accreditation readiness, the country contexts and COVID-19 pandemic, it was overly ambitious to set a target of 5 entities for accreditation.
4. Work closely with the Government entities to address their capacity limitations and to ensure that GCF requirements are met, which may vary from existing local requirements.
5. A good understanding of governmental processes and procedures is essential for manoeuvring them without compromising operational integrity.
6. Project institutional structures should be adhered to, including the frequency of their meetings and communication as these are essential points for endorsement, recommendation, and approval.
7. Set realistic timelines for project work plans that are reflective of the pace of communication and stakeholder input as well as incorporation of specific measures to minimize delays.
8. Ensure that potential service providers are selected based on an assessment using pertinent criteria.

Good Practices

1. R/L Proactive approach to on-granting in the countries where beneficiaries found it advantageous where the SIRFF staff worked with them to complete applications. This helped to reduce hiccups/delays in the application process.
2. DOE ATG made presentations in vulnerable communities and walked door to door to speak to identify potential clients.
3. Devolution of procurement authority to the ATG PMC within a threshold, above which the Ministry of Finance has responsibility, allowing for smoother implementation and reducing procurement delays.
4. A systematic process of valuing government contribution to the EDA Project is a fair way of identifying co-financing.

- Grant applicants' names and contact information were redacted during evaluations, and they were only identified by their applicant numbers. This practice helped to reduce bias and favouritism.

3.7.2 Sustainability Factors

The EDA pilot Project is designed with a level of country ownership and coherence in financial flows that reflects multiple levels of environmental, social, economic, and gender-sensitive sustainability. The Project is driving a change in mindset of households and micro-small and medium-sized enterprises as it relates to the use of RE through the integration of solar panels, landscaping and general aesthetics that is leading to a transformation in behaviours that goes beyond the direct benefits of the renovations.

Three key elements to EDA Project Sustainability include *country ownership, the reflow strategy, and the devolution of resilience decision-making to the local government institutions, community groups and individual households and businesses*. The EDA Project design supports improvement to country level ownership and implementation of resilience building results. This is reflective of project efforts to build its implementation within the host government systems and processes, and the use of country institutions as service providers for key Project outputs. At mid-term the RL programme is positioned to finance adaptation within households and businesses while leveraging private sector financing by managing reflows into the Revolving Fund, to facilitate re-disbursements to other beneficiaries. The RL Fund continued to review beneficiary selection criteria to reduce default and secure reflow. In addition, the Project's efforts to empower communities and households to lead the planning and implementation of adaptation solutions, including the network of disaster shelters, is another element that drives sustainability. For example, shelters are being established within community-based organisations, utilising existing institutional arrangements for service delivery and quality assurance and quality control.

Key factors for sustainability include:

- Environmental co-benefits** will likely emanate from the climate-resilient projects from Output 2 and 4 that include planned impacts of reduced flooding, improved access, heightening sensitivity to gender-based planning and response. The ESAs and ESAMPs completed, as with the one in ATG for the Cashew Hill Sub-watershed (DOE, 2021), sought to promote environmental sustainability through identification and implementation of appropriate mitigation measures on the Output 2 activity. Six performance standards, with minimum criteria were determined and established in a management plan (Box 3.14). The Project will also strengthen the capacity of the environment ministries and their partners to develop and scale up climate resilience schemes. The track record built through implementation of the activities under Outputs 2-4 will allow for further replication and scale up of both on-granting and on-lending as well as blended schemes. GRD's use of the CCCAF documents for the on-granting activity is advancing its application and provides further bases for replication and upscaling of the activities in the island's highly vulnerable areas.

Box 3.14. Performance criteria/Standard

- Minimize clearing of vegetation from the banks of the water course.
- Minimize pollution of the water course by construction debris and other pollutants including oils from equipment, pesticides.
- A decrease in vector populations (mosquitoes) as a result of project interventions.
- Improvement in quality of the water in the water course below the waste stabilization pond; water quality within prescribed EPMA standards.
- Decrease in flooding risk as a result of interventions.
- Equal participation of men and women in design and upgrade of waterways; participation and involvement of vulnerable populations.

2. Climate change awareness of communities, households and policy makers provide **social benefits** that can sustain action and build climate resilience. Provision of financing for climate resilience building for the most vulnerable populations with adaptation measures for their housing facilities also improves their quality of life. For MSMEs the EDA Project will allow entrepreneurs to finance adaptation measures associated with their commercial facilities and enhance their income stream. Retrofits to houses and community facilities will allow for greater community cohesion and well-being. Efforts to build beneficiary awareness and knowledge of climate change, its impacts and climate resilient development are expected to result from targeted communication activities.
3. **Economic co-benefits** will most likely accrue from use of building materials and technologies such as water and energy savings devices, reduction in the cost of rebuilding post-disaster due to the incorporation of climate resilient housing actions.
4. **Gender-disaggregated indicators** will monitor the profile of the beneficiaries. In ATG, the revolving fund loan program for adaptation is gender responsive, with women-headed households being the majority and for which actions are intentionally gender sensitive. Grenada's efforts in Output 3 are not currently gender sensitive and neither is tracking done against gender disaggregated indicators and this will need to be rectified.

3.7.3 Risks to Sustainability

The risks to sustainability of the EDA Project have been deemed to be high and are largely attributable to the significantly delayed state of project execution as well as the current and impending threats to delivering the Project's intended outcomes and outputs prior to its completion. The EDA Project was designed with sustainability embedded, and with project management, coordination and execution mechanisms and processes that are expected to provide the necessary framework for continuity beyond the LOP. Notwithstanding, the Project is now at risk of not achieving all of its planned targets, partly due to multiple changes to the internal and external project environment that have exacerbated implementation challenges and have consequently negatively impacted project success. The Project's ability to successfully mitigate risks for the remainder of implementation has strong implications for overall project sustainability. In addition to the risks to the achievement of project targets presented in Table 3.10, the IE has identified key risks to the continuation of Project benefits and results and potential mitigation actions that are provided in Table 3.13.

Table 3.13. Risks to the Continuation of Results beyond the LOP

Risk Category	Risks	Probability	Impact	Risk Rating	Suggested Risk Responses
Risks to Continuation of Project Outcomes and Outputs Beyond the LOP (Sustainability)					
Financial	Inadequate resources to sustain EDA Project results	Medium	Medium - High	Medium - High	<ul style="list-style-type: none"> • Identify, as part of a project exit strategy, those project activities and results that can be sustained from operational government budgets and ensure incorporation into relevant operational plans and budgets. • Identify and pursue donor/multilateral funding for project activities, results and follow-on initiatives for which there is no/limited support from the national budget. • Ensure stakeholders are regularly engaged and aware of the benefits of the project. • Document and share lessons learned and good practices to enhance stakeholder learning and
Socio-economic	Level of stakeholder ownership (post-project) is inadequate for project results to be sustained.	Medium	Medium - High	Medium - High	

Risk Category	Risks	Probability	Impact	Risk Rating	Suggested Risk Responses
					the potential for future replication and scale-up
Institutional/ Technical	Absence of a project exit strategy	Medium	High	High	<ul style="list-style-type: none"> In collaboration with key stakeholders, develop a project exit strategy that: <ul style="list-style-type: none"> Includes actions to maximise ownership of, and commitment to, key activities (including incomplete, follow-on and scaling up activities). Clearly specifies agreed roles and responsibilities. Incorporates financing strategies.
Institutional/ Technical	Inadequate capacity to support M&E post project closure.	Medium	Medium	Medium	<ul style="list-style-type: none"> Address as part of project exit strategy development process.
Governance/ Political	Inadequate buy-in across political administrations.	Low	Medium	Medium	<ul style="list-style-type: none"> Sensitive/engage high-level political representatives across administrations on the Project outcomes and results as well as associated benefits and efforts for sustaining these.
Environmental	Natural and man-made hazards/disasters (e.g., hurricanes, heavy rainfall events)	High	High	High	<ul style="list-style-type: none"> Develop disaster response plan with clearly defined roles and responsibilities for key stakeholders

3.8 Unexpected results (both positive and negative)

COVID 19 is a significant factor that contributed to delays in execution of activities in the EDA Project countries. An unevenness of implementation progress was noted across the project countries that was primarily attributed to the impacts of the COVID-19 pandemic, its impact on staff and their families, as well as country restrictions to contain the spread of the virus. COVID-19 especially changed the implementation landscape, following project mobilisation, with containment measures across the countries limiting travel of the AE to the territories due to extensive border closures.

With the adoption of the country-owned approach, the perception may arise that the project, and its implementation processes and framework is politically driven. IE interviews with stakeholders unearthed the need for the project to manage perceptions that the project is politically driven, especially in the context of extended delays and the complex multi-layered implementation mechanism. The Project has also had to work around the constraint caused by inadequate capacity in Dominica and Grenada, as well as waning political will as governments focus country efforts and resources to respond to the COVID-19 pandemic. As Governments diverted resources to deal with the pandemic this made the allocation of resources for co-financing challenging.

There have been early reports of positive behavioural shifts in commercial lending institutions because of the project RL fund for adaptation financing. There has been a case where loan beneficiaries have requested an early pay-out of their SIRFF loan. Loan beneficiaries have reported that in instances where previously they were unable to access an equity loan, they are now being offered products with terms comparable by credit unions, once they were approved by the SIRFF. One of the many impacts of the COVID-19 pandemic is a scarcity of materials, and price increases on materials that are available. The SIRFF encourages applicants to budget and plan out work meticulously, along with submission of detailed

estimates. These estimates should include allowances for possible price increases. Further to this, the SIRFF works with the CABI, a statutory non-profit that provides discounted materials for new home construction and renovations, and this was especially beneficially in the time of escalating prices during the COVID-19 pandemic.

There were amendments to loan terms and conditions to address low levels of uptake of the RL programme due to the COVID-19 pandemic and the ability of potential recipients to respond to the call. Due to the low levels of uptake of the RL in ATG, provisions were made to recreate the amortization and repayment schedule based on the new environment especially caused by COVID- 19. This included lowering of the interest rate 1.5%, the lowest available rate, and increasing the maximum repayment time up to 20 years. This is the lowest possible interest rate on loans available. It has been repackaged and approved to meet the needs of the target group which is the most vulnerable.

3.8.1 Adaptive management

The EDA Project had significant setbacks but there is strong evidence that corrective actions were employed to continue to advance efforts towards achieving the Project's objective. The IE identified the following adaptive actions taken, though they were not always done in a proactive way.

1. **Processing of payments by the DOE on behalf of the EEs DOM and GRD until the FMCAs were completed and approval granted for disbursements to the countries.** With the delays in disbursement to DOM and GRD, a decision was taken to allow ATG to make payments on their behalf until the FMCAs were completed and reflected the capacity of the EEs for disbursement of funds.
2. **Amendments to loan terms and conditions:** Due to the low levels of uptake of the RL in ATG, provisions were made to recreate the amortization and repayment schedule based on the new environment especially caused by COVID- 19. This included lowering of the interest rate to 1.5% and increasing the maximum repayment time up to 20 years. This is the lowest possible interest rate on loans available. It has been repackaged and approved to meet the needs of the target group which is the most vulnerable.
3. **Service Provider using existing Fund guidelines:** In GRD for C3, while the ED has established the CCCAF and tested it with projects with 27 CBOs, the ED does not have the capacity to manage and administer the funds for on-granting under the EDA project. The ED has partnered with the RDU of the MoF as the SP, who will be responsible for the overall management and administration of the grants and has utilized the operational procedures of the CCAF.
4. **Collaboration and not contractual arrangement:** In DOM for C3, the GEF SGP was selected as the SP but it was realized that disbursements by the entity would attract a 9% administration fee to the UNDP/UNOPS. However, there was no allocation for this in the budget so a contract was not signed. Modification was made and a letter of collaboration signed between the MOE and the SGP, and the SGP will not receive the money directly and disbursements will be made through the MOE.
5. **Support in light of capacity limitations to advance Project activities:** In DOM for Output 2, with ongoing delays due to in large part to capacity constraints within the PSIP Unit, the PMU had to intervene and work much closer with the line ministries to complete the project concepts. Similarly, in GRD for Output 3 the PMU worked closely with CBOs to complete concept notes as their capacity was also limited.
6. **M&E implementation additional capacity support to the project countries in light of capacity gaps.** It was initially expected that the Inception Report would be followed by the Baseline Assessment and then the development of Manuals and the conduct of training. However, upon initiation of the assignment in late 2020 and the conduct of a Capacity Assessment between December 2020 and January 2021, it became clear that there were varied capacities amongst the three country teams;

Country teams were not very familiar with Results-based Management (RBM) and seemed to have limited exposure and practical experience with RBM; Persons assigned M&E responsibilities had limited or no background in the areas; and It would be impossible to develop manuals and execute technical training on M&E related to the EDA project without first addressing this most basic capacity gap. A log frame review session held on January 20th with project stakeholders including country team representatives confirmed this assessment. The M&E approach was therefore adjusted to focus on capacity development through M&E 101 sessions as well as mentorship. The M&E matrix evolved as a tool to improve cross country implementation of M&E responsibilities.

7. **Local teams (DOE, DMU, MOW Roadworks and Survey Unit) supporting data collection.** On account of travel restrictions linked to the COVID-19 Pandemic, Alpha Engineering, the Trinidadian-based consultant engaged to carry out design work for Component 2, was unable to travel to ATG due to border closures in Trinidad and Tobago. As a response, the DOE, DMU and MOW worked collaboratively to collect the data Alpha needed to complete the technical engineering design work.
8. **Use of quantity surveyor to validate cost estimates.** This action was deemed necessary owing to the submission of high cost estimates by the Component 2 SP in ATG for previous projects.
9. **Engagement by the AE of high-level government officials in relation to project delays.** Bilateral meetings were held with GRD's and ATG's Ministers with responsibility for the Environment, GRD EDA team to discuss country projects, and project management budget concerns.
10. **PMU staff support to Project beneficiaries:** Upon realizing beneficiary capacity constraints, for example, line ministries in DOM and CBOs in GRD, to complete project proposals, the PMUs stepped in to support their completion.

4 SUMMARY OF FINDINGS, PROJECT RATING, CONCLUSION AND RECOMMENDATIONS

4.1 Summary of Major Findings

Relevance

1. The EDA Project inclusive of its strategies, components and outputs is well aligned to advance national sustainable development priorities of the target Eastern Caribbean pilot countries of Antigua and Barbuda (ATG), Dominica (DOM), and Grenada (GRD) and is well-structured to institutionalize a transparent, decentralized decision making and financing mechanism that mobilises climate financing to governments, and vulnerable households and communities for climate change adaptation interventions.

Effectiveness

2. The Project is severely delayed and the completion of all outstanding outputs by project closure is at risk. At the time of the Interim Evaluation (IE), the Project completed 21% of the implementation activities associated with each of its outputs.
 - a. While the Project did not achieve any of the three mid-term targets for the GCF fund-level impact indicators, at the programme level, the Project met 100% of the mid-term target for Outcome Indicator 5.2, *“Number and level of effective coordination mechanisms strengthening of finance related by-laws, regulations and operational procedures.”*
 - b. For Outcome Indicators 7.1 *“Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability”* and 7.3 *“Number of vulnerable households and businesses that use Fund-supported instruments to respond to climate change and variability,”* 0.7% and 10% of the planned mid-term target was met respectively.
 - c. At the Output level, progress was reported on Indicator 1.2 *“Number of transparent sustainable financing mechanisms supporting adaptation in the OECS sub-region”* as 33% of the mid-term target for the indicator was met with the SIRF Fund becoming operational.
 - d. The Project did not achieve the mid-term target for Output Indicator 1.3 *“Number and value of physical assets made more resilient to climate variability and change, considering human benefits”* and *“Number of direct beneficiaries (disaggregated by gender) of Fund-supported small grants for adaptation to respond to climate change and variability”* due to implementation delays.
3. Despite efforts of the DOE ATG (acting as EE for Output 1) to advance implementation, activities to create or enhance three sustainable financing mechanisms, and accreditation of three Direct Access Entities (DAEs) to the GCF or AF are delayed at the time of the IE. In support of mechanisms for direct access implementation oversight and transparency, though delayed, Financial Management Capacity Assessments (FMCAs) for the target countries were completed with AE review and feedback and submitted to the GCF. Through the Project’s arrangement with the OECS Commission capacity is being built and mechanisms instituted for M&E, learning and knowledge management and sustainable procurement.

4. Negotiations between the AE and EEs to finalise Technical Assistance Agreements (TAAs) were extensive and signing was delayed. This impeded country progress around some of the key accreditation milestones.

Efficiency

Implementation Strengths and Challenges

5. There are several strengths that the EDA Project benefits from at both the country and regional levels. The well-designed project addresses CC issues at the policy and operational levels across the three SIDS with the involvement of multiple stakeholders. Project implementation is being undertaken by knowledgeable and experienced staff and enjoys high-level ministerial endorsement. In addition, across the outputs strategies innovative strategies and approaches have been adopted.
6. The EDA Project has been marked by several implementation challenges and constraints that have resulted in significantly delayed implementation and the associated failure to achieve the expected results at mid-term. These challenges include national circumstances such as government-instituted restrictions; the COVID-19 pandemic and associated implications; capacity limitations in some project countries, AE supervision gaps, procurement-related constraints, and poor communication across stakeholder groups.

Management and Coordination

7. The planned EDA Project institutional arrangements include a well-defined multi-level structure that provides for management and coordination, oversight, decision making and communication, to facilitate implementation and achievement of transformational results. However, project (regional, country and output level) execution has utilized variations of the structure that has shaped the state of implementation across the participating countries.
8. The management and coordination of activities and the stakeholders involved in the EDA Project varied significantly for the collective and across individual countries and is reflective of the capacity of the countries to implement the Project.
 - a. The AE's leadership of the EDA Project is well established and, in many ways, considered a strength. However, although the AE facilitates sharing of information, supports development of TORs and contracts and provide backstopping, the unresolved capacity deficiencies in the other two countries warrants continued support and handholding.
 - b. Through its annual meetings the Regional PMC has created a medium for information sharing and guidance, and highlighting lessons learned and challenges faced by countries in the implementation of EDA Project activities. The Regional PMC meetings have reflected less of a decision-making function but allows for the project coordination team to follow through on critical actions at the country level. There is little evidence of discussion on the overall project performance at the aggregate level. The ATG PMC also closely monitors the overall project and have sought to mitigate risks, in instances.
 - c. The performance of the national PMCs in providing country level oversight and guidance, facilitating interagency coordination and monitoring national-level activities varied considerably in terms of structure and characteristics and performance against the TORs.
 - d. EDA Project TACs are country-level structures that existed prior to the start of the EDA Project but whose utility has varied across countries and over the LOP.
 - e. The capacity of the PMUs for implementation of the EDA Project varies considerably, with the ATG having the most robust team. While significant effort has been made in all three countries to advance the implementation of Project activities, the completion of these is often

dependent on stakeholders and actions outside of their control. Although there are provisions in the budgets for the PMUs to hire consultants to support their work, a practice utilized by ATG, there is no evidence of this being utilized by either DOM or GRD EEs. Regular monthly PMU staff reporting is evident, but project planning is not generally reflective of realistic activity and timeline setting. Validation and verification of the reports for DOM and GRD was limited and when entered into Smartsheet produced questionable implementation status of project activities.

9. Subsidiary Agreements that define the relationship between the AE and the EEs in both DOM and GRD and outline the roles and responsibilities for the parties were prepared by the DOE and signed by the EEs. There is evidence of the AE's monitoring of the SAs, and efforts made to address SA implementation deficiencies, but regular and ongoing communication of these with the EEs was not evident. SA monitoring at the country level was also lacking.

Stakeholder and beneficiary participation

10. The EDA Project involves a diverse set of stakeholders who have been involved at different times over the LOP. Stakeholder participation ranges from information sharing to decision making and while there is evidence of stakeholder mapping regionally and nationally there is no evidence of comprehensive targeted stakeholder engagement plans that drive the participation of stakeholders and beneficiaries. Project beneficiaries have participated in key activities and adaptive actions often employed to address their capacity limitations in an effort to increase their uptake of the range of services and meet GCF criteria.
11. The participation of local level stakeholders in vulnerable communities and local government entities in the three EDA countries is paramount to the ultimate success of the EDA Project. The activities in which they are involved are geared at building climate resilience in these identified communities, with an emphasis on participation of women and other vulnerable groups. Capacities of the line ministries and local stakeholders are understood, and efforts made to support them.
12. NDAs are important GCF agents who have been involved in EDA Project oversight but to a lesser extent in their capacity as NDA Focal Points.
13. Existing policies and procedures of key stakeholder organizations have been modified and utilized for activity implementation under the EDA project, a strong sign of country ownership.

Donor Relationships

14. During the pre-feasibility phase of the Project, the GCF worked well with the DOE and Project team, providing constructive feedback for project enhancement prior to approval of the FA. The relationship between the DOE ATG as the AE and the GCF has grown significantly since the DOE's accreditation and designation as the AE for the EDA Project and throughout implementation. The GCF has worked well with the EDA Project team and recognizes the strong political support for the Project. During implementation the GCF has had ongoing and regular communication with the AE, providing feedback on documents and supporting requests made.
15. The GCF has recognized a number of critical constraints faced by the EDA Project team and has incorporated enough slack and flexibility to accommodate adjustments. The GCF has recognised the limitations posed by the COVID-19 pandemic on the Project, including the inability for the AE to travel to project countries and work with EEs and the hike in prices and availability of goods for project implementation.

Financial Management, Cost Efficiency, Cost Effectiveness

16. The Project budget was consistent with realized activity costs, even after taking inflation into account. As of December 31, 2021, actual expenditure was US\$2,331,453.79, 11.7% of the allocated GCF funding of US\$20,000,00.00, with the ATG EE accounting for 86.50% of the total spent. At IE, project expenditure was approximately five quarters behind the planned expenditure rate, primarily due to the delays in both DOM and GRD.
17. At the time of the IE, the financial management of the EDA Project was neither effective nor efficient. However, the fiduciary management employed by the AE and EEs was strong and reflected full compliance with the FAA (2019), while adhering to the AE's procurement guidelines, and where applicable, the national procurement guidelines of the respective EEs. The financial management was also ineffective due to the non-accomplishment of targeted outputs and outcomes as per FAA Schedule (2019).
18. Up to the time of the IE, the EDA Project budget in all three countries had not been spent in an efficient manner. The overall project cost incurred was US\$2,331,453.79. This far exceeded the value of work created at US\$1,725,159.23. The Cost Performance Index (CPI) was 0.74 and Cost Variance (CV) was -US\$ 4,341,723.01. The IE's analysis of value created over the LOP was estimated by using the aggregate spend over the LOP as a proxy ((actual spend/total amount budgeted) * planned expenditure). A CPI less than 1 and a negative CV indicates that the allocation of the EDA Project budget over the LOP was not deployed in a manner consistent with achieving the planned rate of value creation.
19. Project implementation in all three countries was inefficient. The Schedule Performance Index and the Schedule Variance (SV) both indicate that the project is significantly behind schedule, by 10 quarters.
20. The EDA Project was not cost effective as the economic cost of the project amounted to -US\$91,810,976.96, 68% of which was due to implementation delays. The planned strategies and inputs were considered realistic, appropriate, and adequate to achieve desired outcomes and outputs. However, the coordination and sequencing of planned project activities were not strategically implemented on time and within budget in order to achieve the desired results in a cost-effective manner.
21. The quantitative indicators used to evaluate the EDA Project indicate that the rate of expenditure/implementation required to complete the Project within budget and on time would need to be increased 10-fold to be consistent with the FAA. At the time of the IE, the return on investment for the EDA Project was negative. Consistent with the negative return on investment, the calculated To Complete Performance Index (TCPI) being greater than 1 is indicating that cost performance would need significant improvements in value creation over the balance of the PIP to achieve the Project objectives.
22. At the current rate of implementation, it can only be expected that project outputs and outcomes will be achieved post PIP. Accelerated implementation is required given that the earned value created by EDA project was eight quarters behind schedule and US\$13,073,840.77 less than projected as of December 2021.

Procurement

23. The EDA Project procurement processes have generally complied with the DOE's Procurement Policy, as there has been no evidence of noncompliance. Notwithstanding the efforts to successfully execute procurements across all three EDA Project countries, several challenges have impeded the efficiency and effectiveness of procurement functions, contributing to significant delays and varying stages of implementation within each project country. The challenges and delays arising from them, pose

significant risk to project success, and include: delays in predecessor activities, lengthy procurement processes, national circumstances and requirements, the need for reinitiating procurements, and capacity constraints.

24. Procurement monitoring has varied across the EDA Project, with tracking of some country-level procurements by the DOE ATG, but no evidence of monitoring being undertaken at the overall EDA Project level to support full assessment of procurement execution against what was planned. Additionally, at the time of the IE, there was no evidence of procurements being monitored by the OECS Commission and limited use of the Sustainable Public Procurement system (SPP) to guide procurements as per the FAA (2019).

Risk Management

25. The risk management framework established to guide implementation of the EDA Project was found to be sound and sufficient to help to secure the expected results. The EDA Project has implemented several key risk management actions, including identifying and documenting risks and their associated mitigation measures, as well as updating the EDA Project risk register, though not at the frequency specified in the FAA (2019).
26. While the AE and EEs have tried to be responsive to risks, the IE notes several issues that have negatively impacted the efficacy of risk management actions and that have contributed to the delays experienced by the Project. These include reactive execution of risk management actions, critical project risks remaining unaddressed, inadequate high-level intervention to resolve risks as well as limited monitoring and assessment of risk management efforts at the country and overall EDA Project levels. The gaps in risk management to date have negative repercussions for EDA Project success and sustainability.

ESS

27. The Environmental and Social Safeguards (ESS) Framework for the EDA Project is robust. In addition to having the requisite ESS framework in place, the Project undertook several measures to ensure ESS compliance, including embedding ESS-related clauses into the RFPs, TORs and Job Advertisements, and contracts and community consultations to educate, sensitize and address community feedback. Notwithstanding as implementation improves, the capacity of some project teams will need to be enhanced to facilitate conduct of the requisite ESS activities.

Monitoring and Evaluation

28. The EDA Project, guided by the FAA (2019) was established with a multi-layered monitoring and evaluation (M&E) framework reflective of the project components (national to local levels), the multi-country reach, monitoring, evaluation and reporting requirements, associated assessment and monitoring tools, and the supporting institutional framework required for its implementation. The M&E system defined during project conceptualization was refined at inception and had strong interconnectedness with Output 1. Institutional arrangement for M&E implementation reflects outsourcing of key functions to the OECS Commission who in turn supports the AE and EEs in executing their responsibilities. To facilitate clarity around roles and responsibilities while building country ownership of M&E tasks, the Project utilised an M&E Matrix developed by the OECS Commission.
29. Capacity for M&E implementation varied across the project countries, with significant gaps identified at inception and during M&E baseline assessment that limited the Project's ability to execute some M&E functions that was confirmed in the baseline assessment. At mid-term the Output 1 M&E related activities were only 29% completed. Training and capacity development activities were implemented

to address M&E capacity gaps, while mentoring the country teams through key deliverables such as completion of the baseline assessment.

Coherence in climate finance delivery with other multilateral entities

30. Evidence from the three EDA countries highlight the coherence of the EDA Project with previous projects and other initiatives that either built supporting infrastructure, track record or piloted actions for upscaling in order to build country climate resilience. In addition, the EDA Project's focus on climate finance delivery had its genesis in a number of key developments at the international and regional levels and sought to address the limitations of climate finance capacity and infrastructure. In order to achieve this, the establishment of accredited entities within Dominica and Grenada aligns with and carries on from the Commonwealth Climate Finance Access Hub agenda, which focused on establishing climate finance capacity within ministries across participating states. The revolving loan disbursement facility forms part of a deliberate attempt by the GCF to facilitate increased access to climate financing by the most vulnerable in society.

Gender Equity

31. The IE determined that gender mainstreaming at the country-level varied and is a function of the country and organisational context and capacity. A Gender Action Plan (GAP) that outlines explicitly the mix of actions to ensure gender and social inclusion considerations are effectively integrated in project implementation, but at the time of the IE there was limited implementation of its strategies and actions. Generally, gender-sensitive and gender-disaggregated monitoring is weak in the project to-date. However, several measures were taken to facilitate the availability of gender-sensitive monitoring data such as the modification of application forms, templates and development of tracking and reporting sheets associated with the grant and loan programmes.

Country Ownership of Projects and Programmes

32. The EDA pilot promotes country ownership of projects and programmes by empowering stakeholders with climate finance decision-making in ways that address the countries' climate needs. The successful implementation of the FA (2018) is hinged on an institutional framework that integrates decisions of service providers, a TEC, TAC and a PMC and involves a range of diverse stakeholders. The TAC in all three countries as well as the PMC in ATG, predates the Project. Service Providers were selected based on their experience with implementation of the relevant financing mechanisms, track record, existence of policies and procedures and engagement of key stakeholders. NDAs have been actively involved in the EDA Project from its conceptualisation to implementation, less in their capacity as NDA and more in relation to project oversight and activity implementation. Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and SPs for Outputs 2, 3 and 4. However this process was extended due to deliberations with, and external to, the countries that impacted the achievements of the intended results.

33. However, at mid-term limited progress was made in several design elements and outputs of the Project that were to reflect country ownership, including the development of six transparent sustainable financing mechanisms and the accreditation of three direct access entities in the Eastern Caribbean, including for on-granting and on-lending accreditation.

34. Subsidiary Agreements with project countries document commitments to leverage resources to complement project implementation, however at mid-term this was not fully realised. Although at December 2021, the Project was 10 quarters into a 16-quarter implementation timeline, of the total

co-financing budget arising from the FAA (2019) the Project generated co-financing in the amount of US\$402,270.34 or 15% of the planned sum, with the greater portion of this contributed by ATG.

Innovativeness

35. Within the EDA Project approach, innovation was used to refine strategies and products across the result areas in order to drive transformative climate change adaptation and is reflected in the provision of thought leadership, employment of technology, forging of partnerships and piloting financing mechanisms. The financing provided by the GCF through the EDA pilot provides the opportunity for replication of on-granting with CBOs, on-lending with residents and small businesses and infrastructure support through public entities.

Replication and Scalability

36. The Project is already showing indications of the potential for replication and upscaling, with the on-granting and on-lending schemes, use of project structures for stakeholder engagement, south-to-south cooperation for accreditation readiness and enhancement of planning processes within government. However, the major delays encountered, and the slow pace of implementation pose a significant threat to sustainability and the intended country-level impact. The IE is therefore unable to determine whether the proposed actions will result in significant and sustained climate finance flows for the countries in the short to medium term.

37. A missed opportunity was greater cohesion between EEs and the AE that provided additional benefit to enhance country implementation. Another is the opportunity for Antigua to replicate successful micro level climate financing for building climate resilience in the other two countries.

38. The existence of established Funds as exemplified by ATG and GRD; the track record, especially for on-granting with civil society organisations; and the existence of climate change institutional structures such as NCCC are key ingredients for long-term sustainability.

39. ATG's GCF Project Build is evidence of replication already underway.

Unexpected Results

40. There have been early reports of positive behavioural shifts in commercial lending institutions because of the project RL fund for adaptation financing which is a positive unexpected result. On the negative side however within the context of the country-owned approach, the perception may arise that the project, and its implementation processes and framework is politically driven.

Adaptive Management

41. There is evidence of adaptive actions taken in response to continuous changes in the development landscape, however, a proactive approach to adaptive management was not evident.

4.2 Project Rating

The EDA Project has an overall rating of **Unsatisfactory**.

Criteria	Rating ³⁵	Justification
1. Relevance, effectiveness and efficiency of projects and programmes	HU	<ul style="list-style-type: none"> See details for relevance, effectiveness and efficiency.
i. Relevance	MS	<ul style="list-style-type: none"> The Project is well-aligned to advance national priorities of the target OECS territories and is well-structured to deliver concrete adaptation interventions with tangible outputs that work cohesively to achieve its objective. The EDA Project responds to the threat to life, property, and economic and social wellbeing in ATG, DOM and GRD due to climate variability and climate-induced extremes. The Project's strategies, components and outputs are well-positioned to institutionalize a transparent, decentralized decision making and financing mechanism to mobilise climate financing to governments, and vulnerable households and communities in the Eastern Caribbean pilot countries of ATG, DOM, and GRD to build climate resilience. Variations in country-specific context were not sufficiently accommodated for in the project timeline to mitigate for implementation stage risks. The pre-feasibility capacity assessments for the Project indicated that available capacity within the proposed EEs varied significantly and ATG benefits from comparatively strong existing technical, financial and human capacity. All countries have existing climate change policies, plans and programmes to which the Project is well-aligned. However, both DOM and GRD have not enacted environmental legislation that are crucial for EDA paradigm shift.

³⁵ **HS** – Highly Satisfactory; **S** – Satisfactory; **MS** – Moderately Satisfactory; **MU** – Moderately Unsatisfactory; **U** – Unsatisfactory; **HU** – Highly Unsatisfactory. Guidelines for Overall Rating Determination (Annex 10):

- With a Highly Unsatisfactory rating for relevance, effectiveness, or Replication and Scalability (sustainability), the highest achievable rating is Unsatisfactory
- With an Unsatisfactory rating for relevance, effectiveness, or Replication and Scalability (sustainability), the highest achievable rating is Moderately Unsatisfactory.
- For a Highly Satisfactory rating, no rating on any core criteria can be less than Satisfactory.
- With a Moderately Unsatisfactory rating for relevance, effectiveness, or sustainability, the highest achievable overall rating is Moderately Satisfactory.

Criteria	Rating ³⁵	Justification
ii. Effectiveness	HU	<ul style="list-style-type: none"> • The Project is severely delayed and has completed 21% of the implementation activities associated with each of its outputs, and as a result, completion of all outputs by project closure is at risk. • Progress against mid-term targets include: <ul style="list-style-type: none"> ○ No achievement on the 3 impact indicators ○ 100% achievement on Outcome Indicator 5.2 ○ 0.7% and 10% respectively on Outcome Indicators 7.1 and 7.3. ○ 33% and 0% respectively for Output Indicators 1.2 and 1.3
iii. Efficiency	HU	<ul style="list-style-type: none"> • Over the PIP, project implementation was neither cost-efficient nor cost-effective. As of December 31, 2021, actual expenditure was US\$2,331,453.79, 11.7% of the allocated GCF funding of US\$20,000,00.00. • The Cost Performance Index and Cost Variance indicates that the allocation of the EDA Project budget over the LOP was not deployed in a manner consistent with achieving the planned rate of value creation. • Project implementation in all three countries was inefficient. The Schedule Performance Index and the Schedule Variance both indicate that the project is significantly behind schedule, by 10 quarters. • Cost and Schedule Variance estimates aggregated to approximately -US\$65,045,424.30, which is sufficient evidence to conclude that project resources (financial, human, and otherwise) were not utilized in an economically efficient way over the PIP ending December 2021. • Deficiencies in the planning, sequencing, execution of procurement activities created implementation lags across all three countries. • The annual budgets did not reflect procurement lags and capacity. This led to low budgetary utilisation rates. • The streamlining of procurement activities including the hiring of dedicated project procurement staff, fulfilment of procurement requirements and backstopping was not achieved. There was misalignment across procurement, financial management and implementation. • Procurement rates are below the planned level although US\$58,000 was allotted to enhance procurement capacity across all three sites. • Delayed completion of FMCAs that impacted direct disbursements to Dominica and Grenada. • Non-compliance with some SA conditions, although tracked by the AE, there was no evidence of monitoring by the EEs. • Communication gaps evident across various levels of the Project. • The co-financing agreement to use existing government workers to perform M&E task on the project did not materialize as planned. • Capacity for M&E implementation varied across the project countries, with significant gaps identified at inception and during M&E baseline assessment that limited the Project's ability to execute some M&E functions. At mid-term the Output 1 M&E related activities were only 29% completed. Training and capacity development activities were implemented to address M&E capacity gaps, while mentoring the country teams through key deliverables such as completion of the baseline assessment.

Criteria	Rating ³⁵	Justification
		<ul style="list-style-type: none"> While the AE and EEs have tried to be responsive to risks, the IE notes several issues that have negatively impacted the efficacy of risk management actions and that have contributed to the delays experienced by the Project. These include reactive execution of risk management actions, critical project risks remaining unaddressed, inadequate high-level intervention to resolve risks as well as limited monitoring and assessment of risk management efforts at the country and overall EDA Project levels. The gaps in risk management to date have negative repercussions for EDA Project success and sustainability.
2. Coherence in climate finance delivery with other multilateral entities	S	<ul style="list-style-type: none"> Evidence from the three EDA countries highlight the coherence of the EDA Project with previous projects and other initiatives that either built supporting infrastructure, track record or piloted actions for upscaling in order to build country climate resilience.
3. Gender Equity	MU	<ul style="list-style-type: none"> At mid-term, the Project has made progress towards the target of 50% of its beneficiaries of adaptation and resilience building measures being women. However, gender mainstreaming at the country-level varied and is a function of the country and organisational context and capacity. The Project prepared a Gender Action Plan (GAP) that outlines explicitly the mix of actions to ensure gender and social inclusion considerations are effectively integrated in project implementation. The development of the GAP was informed by the findings of the baseline assessment, which identified several gender-specific gaps and risks to be integrated by project officers across the countries to ensure gender equity and mainstreaming. Delays in project implementation affected the execution of the GAP and the evaluation of performance data describing women's voice as advocates, and agents of change at the household and community levels for climate resilience. Generally, gender-sensitive and gender-disaggregated monitoring is weak in the project to-date. However, several measures were taken to facilitate the availability of gender-sensitive monitoring data such as the modification of application forms, and templates and development of tracking and reporting sheets associated with the grant and loan programmes.
4. Country Ownership of Projects and Programmes	S	<ul style="list-style-type: none"> The EDA Project's design is reflective of, and in alignment with, country efforts to promote leadership and ownership of climate adaptation actions as reflected in the climate change framework and strategy documents of all three project countries. The three countries have ratified the Paris Agreement (2015) and in all cases the Project activities complement national efforts towards achievement of country NDCs and national and sub-regional policies. The EDA pilot promotes country ownership of projects and programmes by empowering stakeholders with climate finance decision-making in ways that address the countries' climate needs. The successful implementation of the FA (2018) is hinged on an institutional framework that integrates decisions of service providers, a TEC, TAC and a PMC and involves a range of diverse stakeholders. The TAC in all three countries as well as the PMC in ATG, predates the Project. Service Providers were selected based on their experience with implementation of the relevant financing mechanisms, track record, existence of policies and procedures and engagement of key stakeholders. NDA's have been actively involved in the EDA Project from its conceptualization to implementation, less in their capacity as NDA and more in relation to project oversight and activity implementation. They remain informed of project progress and challenges.

Criteria	Rating ³⁵	Justification
		<ul style="list-style-type: none"> • In all three project countries, vulnerable areas (communities) and people have been prioritized as beneficiaries for participation in project activities, with strategies for effective participation being integrated to secure the ultimate success of the EDA Project. • At mid-term limited progress was made in several design elements and outputs of the Project that were to reflect country ownership, including the development of six transparent sustainable financing mechanisms and the accreditation of three direct access entities in the Eastern Caribbean, including for on-granting and on-lending accreditation. • Subsidiary Agreements with project countries document country commitments that leverage resources to complement project implementation, however at mid-term this was not fully realised. Although at December 2021, the Project was 10 quarters into a 16-quarter implementation timeline, of the total co-financing budget arising from the FAA (2019) the Project generated co-financing in the amount of US\$402,270.34 or 15% of the planned sum, with the greater portion of this contributed by ATG. • Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and SPs for Outputs 2, 3 and 4. However this process was extended due to deliberations with, and external to, the countries that impacted the achievements of the intended results. • For all outputs, service providers' capacity provided significant value, in terms of existing policies and procedures, management and administrative capacity, technical support, and past engagement with stakeholders. • The importance of enacting environmental legislation as a foundation to much of the needed arrangements for an accredited entity cannot be overstated but both Dominica and Grenada lag with this critical element of readiness. • The financing modalities being implemented under the EDA Project will give eligible stakeholders the opportunity to finance their housing necessities especially for building their resilience to climate change and will also prove that local institutions could deliver climate financing in a timely manner, enhancing their capacities. • Modes of delivery of financing as designed were appropriate and adequate and included elements of the supporting enabling environment (legislation, regulations, policies, procedures, systems), modification to existing processes that met GCF requirements, use of established institutional structures and strong alignment with national policies and plans. These were found in all three countries to varying degrees and in instances there is evidence of capacities being built.
5. Innovativeness in Results Areas	S	<ul style="list-style-type: none"> • The EDA Pilot Project is characterized by an enhanced devolution of decision making whereby both climate finance decisions and project oversight takes place at the sub-national, national and regional levels. Within this approach, innovation was used to refine strategies and products across the result areas in order to drive transformative climate change adaptation. Innovation was reflected across the result areas including in the provision of thought leadership, employment of technology, forging of partnerships and piloting financing mechanisms. • The financing provided by the GCF through the EDA pilot provides the opportunity for replication of on-granting with CBOs, on-lending with residents and small businesses and infrastructure support through public entities. The lessons documented from the Project will be instructive for further replication and scalability and future GCF programming.

Criteria	Rating ³⁵	Justification
6. Replication and scalability	MU	<ul style="list-style-type: none"> • The Project is already showing indications of the potential for replication and upscaling, with the on-granting and on-lending schemes, use of project structures for stakeholder engagement, south-to-south cooperation for accreditation readiness and enhancement of planning processes within government. • Lessons from the Project to date are focused on use of adaptive management, the importance of strong communication and close working relationships, identification of capacity constraints and workarounds, good understanding of government processes and procedures, establishment of institutional arrangements with clarity on roles and responsibilities, setting realistic timelines that are reflective of country nuances and criteria-based selection of service providers. • Cohesion between EEs and the AE that provided additional benefit to enhance country implementation was not optimised, in part due to the COVID-19 pandemic. Replication of ATG’s successful micro level climate financing for building climate resilience has not yet been realised in the other two countries. • Important to EDA Project sustainability are the elements of country ownership, the reflow strategy, and the devolution of resilience decision making to the local government institutions, community groups and individual households and MSMEs. There are also multiple facets of environmental, social, economic, and gender-sensitive sustainability embedded in the Project. • The major delays encountered and the slow pace of implementation pose a significant threat to sustainability and the intended country-level impact. The IE is therefore unable to determine whether the proposed actions will result in significant and sustained climate finance flows for the countries in the short to medium term. • The risks to sustainability of the EDA Project have been deemed to be high and are largely attributable to the significantly delayed state of project execution as well as the current and impending threats to delivering the Project’s intended outcomes and outputs prior to its completion. • The existence of established Funds as exemplified by ATG and GRD; the track record, especially for on-granting with civil society organisations; and the existence of climate change institutional structures such as NCCC are key ingredients for long-term sustainability.
7. Unexpected results (both positive and negative)	MU	<ul style="list-style-type: none"> • There is evidence of adaptive actions taken in response to continuous changes in the development landscape, however, a proactive approach to adaptive management was not evident. • The COVID-19 pandemic is a significant factor that contributed to delays in execution of activities in the EDA Project countries. • With the adoption of the country-owned approach, the perception may arise that the project, and its implementation processes and framework is politically driven. • There have been early reports of positive behavioural shifts in commercial lending institutions because of the project RL fund for adaptation financing • There were amendments to loan terms and conditions to address low levels of uptake of the RL programme due to the COVID-19 pandemic and the ability of potential recipients to respond to the Call.

4.3 Conclusion

The EDA Project has the potential to deliver concrete climate change adaptation interventions to the most vulnerable households and communities, in the Caribbean islands of ATG, DOM and GRD. Fundamental to this is the Project's strategies, components and outputs designed to institutionalize country-level transparent, decentralized decision making and financing mechanisms that mobilise climate financing to governments, and vulnerable households and communities. Project countries executed several actions to secure approvals to operationalise project implementation, including hiring of project officers, identification of accreditation institutions for Output 1, and SPs for Outputs 2, 3 and 4. In addition, the Project is already showing indications of the potential for replication and upscaling, with the on-granting and on-lending schemes, use of project structures for stakeholder engagement, south-to-south cooperation for accreditation readiness and enhancement of planning processes within government. However, COVID-19 restrictions and lockdowns, setbacks in obtaining consensus and the necessary approvals internal and external to the countries, as well as capacity limitations have resulted in the Project's resources (financial, human, and otherwise) not being utilised in an economically efficient manner. While the Project has taken definitive steps to meet the objective of the EDA pilot, the delays in advancing country accreditation have limited the intended devolved decision making. In addition, full evaluation of the operational modalities cannot be achieved at mid-term as this requires full country implementation of EDA project outputs, including the enactment of the necessary enabling legislation. The overall Project rating is *Unsatisfactory*, and based on the current status, there is a low likelihood of the EDA Project achieving key outputs and outcomes, and its overarching objectives within the remaining timeframe in the absence of significant country commitment and leadership and restructuring. Analysis of the current rate of expenditure is indicative of the need for it to be increased tenfold to be consistent with the FAA and within budget and on time. The TCPI, in line with the negative return on investment, indicates that cost performance would require significant improvements in value creation for the remainder of the Project in order to meet its objectives.

4.4 Recommendations

The following represents key recommendations of the IE for attention by the AE, EEs, PMCs, and the GCF.

IMMEDIATE ACTIONS

1. **Evaluate the feasibility of a no-cost extension** to meet project targets and the overall paradigm shift climate finance objective, including the need for restructuring of country programmes to accelerate stakeholder-driven implementation and continued AE oversight and supervision. Define the options based on the assessments findings that present the best-case scenarios towards successful project completion.
2. **Provide high-level project briefings** to the OECS Ministers of Environment Commission, followed by Cabinet briefing and country recommendations for decision/endorsement. Obtain high-level commitment to address country-specific bottlenecks and constraints urgently. Clearly define the role and responsibilities of the designated project champion (Minister) and their relationship with the EE and establish a routine meeting schedule for timely updates and actions.

3. **Strengthen the AE-EE relationship** through joint work planning, close oversight, supervision and support, timely communication and decision making and ongoing monitoring and reporting, inclusive of verification and validation of information provided.

INTERMEDIATE ACTIONS (POST-IE to PROJECT CLOSURE)

AE-led:

4. **Request approval from the GCF for project amendments**, including any agreed upon extension and restructuring, supported by required justifications, such as updates to the log frame, performance targets, project implementation plan and annual work plans, budgets, procurement plans, risk registers. Obtain and include NDA endorsement, and fully signed updated subsidiary agreements between the AE and EEs.
5. **Strengthen supervision of country teams** with close monitoring and support by the AE, regional PMU and ATG activity coordinators. Use the Leaders meetings to agree on corrective actions and the adjustments needed to minimise the risk of delays. Hold monthly presentations on country-level activity implementation and use these fora for sharing good practices and lessons learned.
6. **Strengthen monitoring of SAs** by both the AE and the EEs and improve communication on timelines and breaches as necessary. Use the findings of SA monitoring as a gauge for initiating corrective action or providing support where required.

EE-led:

7. **Assess the status of co-financing requirements** and determine the next steps on whether to renegotiate as well as agreement on clear strategies to achieve the commitments.
8. **Revisit stakeholder mapping exercises**, and expand the stakeholders' roles and responsibilities to include all aspect of project implementation. Design and implement engagement strategies (e.g., updates on activity plans and timelines, sensitisation on urgent pending actions) to bring visibility to issues and enhance the participation of stakeholders critical to resolving country challenges and constraints. Take deliberate steps to advocate for high-level solutions that resolve bottlenecks and accelerate implementation.
9. **Reorganise and reconstitute the PMCs**, where necessary, to allow them to more efficiently and effectively guide and take timely decisive action on key project issues and provide approvals to advance implementation. Strengthen the relationship between PMC Chairpersons, responsible Ministers and Country Coordinators that allow for regular and timely communication and action on project issues and bottlenecks.
10. **Identify and address capacity gaps** (limited manpower) and limitations (limited experience in areas such as results-based management, risk management and procurement) within the PMUs, project stakeholders and beneficiaries.
11. **Accelerate implementation of the ESMP and the GAP** to ensure environmental, gender and social inclusion considerations are adequately addressed in programme planning and implementation, addressing any capacity limitations within the EEs.

12. **Operationalise the Project's lessons learned register** and routinely document project learning to inform replication and scalability in line with the EDA Project objectives. Implement activities that create fora for knowledge sharing across EDA Project countries, regionally and with the GCF for wider dissemination.
13. **Facilitate country-led actions that institutionalise key policies, procedures and systems for directing climate finance** to vulnerable communities and people in a stakeholder-driven and programmatic approach through on-granting, on-lending and other blended climate finance mechanisms.

AE and EE-led:

14. **Facilitate integrated project planning (country and regional levels)** that harmonizes country-level planning with overall regional planning to improve alignment, strengthen country ownership and support achievement of project targets, in line with the SAs conditions. Broaden the planning process by engaging other stakeholders, including the responsible Minister, the PMC, and other implementing partners to ensure buy-in for defined activity timelines and make provisions that facilitate their input in implementation.
15. **Undertake strict monitoring and supervision of the AWP implementation** and adjust all plans on a quarterly basis, ensuring the project is deliberate in integrating environmental, social and gender considerations.
16. **Optimise use of the current reporting tools and processes for project monitoring**, expanding the existing project dashboard to include key financial indicators (e.g., SPI, CPI, budget spend rate) with monitoring by the regional PMU with established triggers for the regional PMC and AE to initiate corrective action. Activate all identified media for close communication, monitoring and supervision, including the use of Smartsheet, weekly PMU meetings, monthly project management and Leaders Meetings, monthly reporting, monthly TACs, and monthly national and regional level PMCs. Routinely include key items on meeting agendas, e.g., SAs and project conditions. Use procurement benchmarks to evaluate procurement performance as it relates to implementation and expenditure. Designate a Smartsheet that provides easy access to all forms, templates, agreements and other important documents and that reflect critical timelines and deadlines.

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6 ANNEXES

- Annex 1. Terms of Reference (abbreviated)
- Annex 2. List of Stakeholders Consulted
- Annex 3. Key Evaluation Questions
- Annex 4. Defined Institutional Structure for the EDA Project
- Annex 5. Institutional Analysis Landscape
- Annex 6. PMC Resolutions
- Annex 7. Planned and Actual Expenditure and Liquidity for the EDA Project
- Annex 8. Key Risks Identified and Assesses in the FAA
- Annex 9. An Inventory of Complementary Initiatives Funded by Other MEAs
- Annex 10. Rating Scale

Annex 1. Terms of Reference (abbreviated)

Terms of Reference

Interim Evaluation of the Eastern Caribbean Enhanced Direct Access (EDA) Project in
Antigua & Barbuda, Grenada, and the Commonwealth of Dominica

Type of Contract:	Consultancy
Contracting Authority	Department of Environment, Ministry of Health and the Environment, Antigua and Barbuda
Position:	EDA Interim Evaluation Consultant(s)
Languages Required:	English
Duration:	85 days
Location:	Antigua and Barbuda, Grenada, Commonwealth of Dominica
Date of Issue:	September 27, 2021
Application Deadline:	October 22, 2021
Instructions to apply:	<p>Interested Consulting Firms or <i>Group</i> of Consultants are invited to apply for this opportunity. Please email the Procurement Officer at DOE@ab.gov.ag and copy to antiguaenvironmentdivision@gmail.com and craig.cole@ab.gov.ag the following: Submit a proposal including:</p> <ul style="list-style-type: none">• Curriculum vitae of each member of the team, showing experience with similar projects• A technical proposal outlining how the objectives outlined are to be achieved• A work plan showing the timeline for expected deliverables• A COVID-19 Contingency Plan for the conduct of data collection and stakeholder consultations• A financial proposal• Writing sample (copy of a published report authored by the applicant)• Name and contact details for three references <p>Please use email subject line: "Application for the GCF EDA Interim Evaluation Consultancy"</p>

	<i>In the event that clarification questions are asked, the answers will be found at this site:</i> https://www.environment.gov.ag/procurement-opportunities#procurements/opportunities
Equal Employment Opportunity (EEO)	The Department of Environment (“DOE ATG”) provides equal opportunity and fair and equitable treatment in employment to all people without regard to race, color, religion, sex, national origin, age, disability, political affiliation, marital status, or sexual orientation. The DoE also strives to achieve equal employment opportunity in all personnel operations through continuing diversity enhancement programs.
LATE Bids	Late bids will not be accepted.
Version	1

I. INTRODUCTION

The Department of Environment (“DOE ATG”) as the Direct Access Entity (“DAE”) accredited to the Green Climate Fund (“GCF”) in Antigua and Barbuda is seeking an external regional / international consulting firm to conduct an Interim Evaluation of its 4-year regional project titled **“Integrated physical adaptation and community resilience through an enhanced direct access (EDA) pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states.”** The project is being implemented through the DOE ATG as the DAE, and the Ministry with responsibility for the Environment¹ (“MOE GRD”) in collaboration with the Department of Economic and Technical Corporation (“DETC”) in Grenada and the Ministry with responsibility for the Environment² (“MOE DOM”) in the Commonwealth of Dominica; as Executing Entities (“EEs”).

II. BACKGROUND AND PROJECT DESCRIPTION

The **“Integrated physical adaptation and community resilience through an enhanced direct access (“EDA”) pilot in the public, private, and civil society sectors of three Eastern Caribbean small island developing states”** project is funded by the GCF. The project became effective and commenced implementation in July 2019 and completed its second year of implementation in July 2021. The EDA is being implemented by the DAE and EEs in the respective pilot countries. The project proposal was designed in response to a GCF *Request for Proposals* (“RFP”) published in 2016, to pilot ‘Enhanced Direct Access’ with the objective of allowing the GCF to effectively operationalize its EDA modality at different levels and with different types of public and private entities. The aim of Enhanced Direct Access is

¹ MOE GRD: Ministry of Tourism, Civil Aviation, Climate Resilience and the Environment

² MOE DOM: Ministry of Environment, Rural Modernisation and Kalinago Upliftment

to devolve decision making to the sub-national, national, and regional levels in keeping with best practices for accountability, integrity, and independence, in order to build stronger knowledge and ownership that will lead to more ambitious action on climate change.

The paradigm shift objective of this EDA project is to promote country ownership of climate adaptation actions through devolved decision-making in the Government, private and NGO sectors that, through the direct access modalities in the Eastern Caribbean pilot countries, will set the foundation and framework to increase access to financing to increase resilience to climate variability of 20% of the population.

The impacts, outcomes, and outputs – and corresponding indicators of the EDA Project as outlined in the project logic framework are as follows:

A. IMPACTS

- Impact A1.0:** Increased resilience and enhanced livelihoods of the most vulnerable people, communities, and regions.
Indicator 1.1: *Number of males and females benefiting from the adoption of diversified, climate – resilient livelihood options*
- Impact A3.0:** Increased resilience of infrastructure and the built environment to climate change.
Indicator 3.1: *Value of physical assets made more resilient to climate variability and change, considering human benefits (reported where applicable)*
- Impact A4.0:** Improved resilience of ecosystems and ecosystem services.
Indicator 4.1: *Coverage/scale of ecosystems protected and strengthened in response to climate variability and change*

B. OUTCOMES

- Outcome A5.0:** Strengthened institutional and regulatory systems access climate finance from the GCF and other funds.
Indicator 5.2: *Number and level of effective coordination mechanisms³ strengthening of finance related by-laws, regulations, and operational procedures.*
- Outcome A7.0:** Strengthened adaptive capacity and reduced exposure to climate risks.
Indicator 7.1: *Use by vulnerable households, communities, businesses, and public-sector services of Fund supported tools, instruments, strategies, and activities to respond to climate change and variability (households: disaggregated by male-headed and female-headed).*

³ GCF Performance Measurement Framework: This indicator seeks to measure evidence of measures taken for promoting coordination and synergy at the regional and international levels, including between and among relevant agencies and with regard to other multilateral environmental agreements.

C. OUTPUTS

Output 1: Enhanced capacity for climate adaptation planning, implementation, and monitoring and evaluation via direct access.

Indicator: *Number of transparent sustainable financing mechanisms supporting adaptation in the OECS sub-region.*

Output 2: Governments implement concrete adaptation measures using ecosystem-based approaches where appropriate.

Indicator: *Number and value of physical assets made more resilient to climate variability and change, considering human benefits. Coverage/scale of ecosystems protected and strengthened in response to climate variability and change*

Output 3: Community resilience to climate impacts is enhanced through tangible adaptation benefits.

Indicator: *Number of direct beneficiaries (disaggregated by gender) of Fund-supported small grants for adaptation to respond to climate change and variability.*

Output 4: Privately owned physical assets of vulnerable populations are more resilient to climate variability and change through concessional microfinancing.

Indicator: *Number of vulnerable households and businesses that use Fund supported instruments to respond to climate change and variability (households: disaggregated by male-headed and female-headed).*

The EDA Project Logic Framework is attached in Annex A.

III. OBJECTIVES AND PURPOSE OF THE EVALUATION

The purpose of the envisaged interim evaluation is to assess and evaluate the progress of the Eastern Caribbean EDA Project since its inception, with an intention to apply formative evaluation principles to:

- i. Determine if the project is meeting the objectives of the GCF RFP
- ii. Enable learning from the implementation experience to date that can be used to further improve implementation planning and activities, which will ensure progress towards expected results as well as assess emerging opportunities for enhancing achievements
- iii. Assess the impact of COVID-19 on project implementation and make recommendations for potential project restructuring
- iv. Measure the progress made towards reaching the design objective of each project output, against the planned outcome, outputs, targets, and activities as outlined in the Funding Proposal and Funded Activity Agreement.

In assessing implementation of the EDA Project and its alignment with the DOE ATG's obligations to Accreditation Master Agreement ("AMA") and Funded Activity Agreement ("FAA"), the interim evaluation will take into consideration assessment of the project in line with the following:

- Evaluation criteria from the GCF Independent Evaluation Unit – [GCF IEU TOR \(GCF/B.06/06\)](#)
- Six (6) GCF [Investment Criteria](#);
- Eight (8) GCF [Strategic Results Areas](#);
- [EDA Guidelines](#); and
- Eastern Caribbean [EDA](#) Project Documents

IV. SCOPE AND FOCUS OF THE EVALUATION

In assessing the EDA Project and its alignment to the AMA and FAA, the interim evaluation will take into consideration the following criteria and questions which are intended to guide evaluators to deliver credible and trusted evaluations that provide assessment of progress and results achieved in relationship to the GCF investment. The evaluation should also identify learnings and areas where restructuring or changes through adaptive management in project implementation are needed; and make evidence-based clear and focused recommendations that may be required for enhancing project implementation to deliver expected results.

1. Relevance, effectiveness and efficiency of projects and programmes

- Are the planned project objectives and outcomes relevant and realistic to the situation on the ground?
- Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?
- Are the planned inputs and strategies identified realistic, appropriate, and adequate to achieve the results? Were they sequenced sufficiently to efficiently deliver the expected results?
- Are the outputs being achieved in a timely manner?
- What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?
- How did the project deal with issues and risks in implementation?
- To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?

2. Coherence in climate finance delivery with other multilateral entities

- Is there coherence and complementarity by the project with other actors for local other climate change interventions?

- To what extent has the project complimented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?

3. Gender equity

- Are financial resources and project activities explicitly allocated to enable women to benefit from project interventions?
- Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?
- Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- How do the results for women compare to those for men?
- Is the decision-making process transparent and inclusive of both women and men?
- To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?

4. Country ownership of projects and programmes

- To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- Were the modes of deliveries of the outputs appropriate to build essential and/or necessary capacities, promote national ownership and ensure sustainability of the results achieved?

5. Innovativeness in results areas

- What role has the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation in the project and country context?

6. Replication and scalability

- What are project lessons learned, failures or lost opportunities to date?
- What factors of the project achievements are contingent on specific local context or enabling environment factors?
- Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?

7. Unexpected results (both positive and negative)

- What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape?
- Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
- What factors have contributed to the unintended outcomes, outputs, activities, results?

V. METHODOLOGY

The interim evaluation should utilize a participatory approach involving key stakeholders. The Evaluators shall provide evidence-based information that is credible, reliable, and useful.

The Evaluators will review all relevant project documents to assess the performance of the project against the design objectives. This will include conducting systemic, institutional, and individual capacity assessments of the executing entities, the procedures and track record of the decision-making bodies, and the function of the oversight committees.

Working under the direct supervision of the EDA Project Support Team (“PST”) – led by the Project Coordinator and in close collaboration of the Project Management Unit (“PMU”), the Evaluators is/are expected to carry out the assessment using the following specific process:

- a) Convene an **inception meeting** with the DOE ATG’s PMU, EDA team and NDA to agree on the concept, tasks and the relevant logistical arrangements and timeframes.
- b) Conduct an extensive **desk review** of all reports and documents related to and generated thus far under FP061 implementation. These will include, but not limited to:
 - Review and familiarize themselves with GCF instruments outlined under Section III above.
 - Review and familiarize themselves with the AMA and FAA between GCF and DOE ATG and all attachments/annexures referenced FP061, especially the funding proposal and logical framework.
 - Review of Project Inception Report, the Stakeholders Engagement Strategy and Gender Action Plan and Environmental and Social Safeguards Report; reports on stakeholders’ engagement activities, Community Based Organisations (“CBO”) training reports, mandatory Annual Progress Reports (“APRs”), project updates on Smartsheet, Quarterly Financial Reports (“QFR”), monitoring reports, minutes of DOE’s project oversight structures (i.e. Project Management Committee (“PMC”), Technical Advisory Committee (“TAC”), Term Sheets, Sustainable Island Resources Framework (“SIRF”) Fund Reports and other relevant internal documents from the three (3) EDA host countries. The review should also assess the project webpage and Facebook content.
- c) Select a representative sample of current portfolio of projects from Outputs 2 – 4 and undertake a thorough assessment of these in light of the objectives, indicators and results areas envisaged in the FAA.
- d) Appraise community experiences with FP061 from proposal development through to current stage of project implementation using the project cycle approach.
- e) Conduct **site/field visits** and **key informant interviews** with ordinary community members, leaders, and beneficiaries. Conduct extensive but focused consultations

and/or interviews with the relevant key stakeholders. This will include, but not limited to:

- NDA, three host countries,
 - EDA PMUs in Grenada and Dominica,
 - OECS secretariat,
 - Project oversight structures (PMU, TAC and PMC).
 - Ministries of Finance (“MOF”), three host countries
 - Ministry of Public Works, (“MOW”), Antigua and Barbuda
 - Board and staff of the SIRF Fund, Antigua and Barbuda
 - Loan and grant beneficiaries,
- f) Undertake **data collection** as needed (government data/records, field observation visits; CDM verifications, public expenditure reporting, GIS data, etc.) to validate evidence of results and assessments (including but not limited to assessment of TOC, activities delivery, and results/changes occurred). Present preliminary findings to AE, NDA and key stakeholders in a validation workshop.
- g) Compile a comprehensive **assessment report** – detailing the following (not limited to) - in the format and of quality acceptable to DOE ATG, NDA and GCF:
- Assessment of progress with respect to project objectives.
 - Assessment of challenges, constraints and shortcomings.
 - Assessment of strengths and opportunities.
 - Assessment of the efficiency of the NDA, DOE ATG and Project Management Unit (“PMU”) towards delivering on the expected outputs and activities, in terms of quality, quantity, timelines and cost efficiency.

During the implementation of the contract, the Lead Evaluator will report to the EDA Regional Project Coordinator, who will provide guidance and ensure satisfactory completion of the interim evaluation deliverables.

There will be coordination with the project team who will assist in connecting the Evaluators with senior management, government, and development partners, beneficiaries, and other relevant key stakeholders.

VI. EXPECTED OUTPUTS AND DELIVERABLES

The expected deliverables of this assignment and the payment modalities shall be structured as follows:

	Deliverable	Schedule	Payment	Target Date
1	Inception Report outlining the proposed methodology and detailed work plan, and timeline for achieving the stated objectives	14 working days after signing of contract	25% of payment upon approval of the final MTE	December 15, 2021

	Deliverable	Schedule	Payment	Target Date
			Inception Report	
2	Update Report on field visits, consultations, informant interviews and data collection conducted in Antigua and Barbuda, Dominica and Grenada	30 working days after the submission of the Inception Report	25% payment upon approval of report	January 19, 2022
3	Draft Final Report. Submit a draft report with an executive summary and include: a detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.	15 working days after the submission of the Update Report	25% upon submission of the draft MTE report	February 9, 2022
4	Final Report. Revise the draft in response to the DOE's comments and suggestions from relevant stakeholders along with guidance on areas of contradiction or issues requiring a response.	25 working days after receipt of comments from AE	25% upon finalization of the Interim Evaluation Report	April 8, 2022
	Total	85 days		

Note: The timeline for delivery of the Final Evaluation Report is non-negotiable, as the report must be submitted by the AE to the GCF no later than April 15th, 2022.

Annex 2. List of Stakeholders Consulted

Name of Key Stakeholder Group/Entity	Country (of Focus)	Name of Stakeholder Representative(s)	Title/ Position	Grantee?	Email Address	Meeting Date(s)
DOE, Antigua	ALL	Craig Cole	Project Coordinator	N	Craig.cole@ab.gov.ag	5-Jan-2022
DOE, Antigua	ALL	Diann Black-Layne	Project Manager	N	Diann.Black-Layne@ab.gov.ag	6-Jan-2022; 4-Feb-2022
Dominica, Project Management Unit (PMU)	Dominica	Hilda Kelshall	Country Coordinator	N	coordinator@dominica.gov.dm	6-Jan-2022
		Amandy Shillingford	Technical Officer	N	technicalofficer@dominica.gov.dm	
M&E Team - OECS	All	Leisa Perch	M&E Consultant, OECS EDA Project	N	lperch@outlook.com	6-Jan-2022
	All	Kervyn Tobias	Head of M&E – OECS	N	kervyn.tobias@oecs.int	6-Jan-2022
	All	Letitia Nicolos	M&E Office with the programme management unit	N	letitia.nicholas@oecs.int	6-Jan-2022
M&E Extended Country Teams	All	Ezra Christopher	Monitoring & Evaluation Consultant, The Department of Environment	N	Ezra.Christopher@ab.gov.ag	6-Jan-2022
	All	Ezzah Stanislaus	Project Officer -Enhancing Direct Access	N	EDAprojectofficer@detc.gov.gd	6-Jan-2022
	All	Amandy Shillingford	Dominica, Technical Officer	N	technicalofficer@dominica.gov.dm	6-Jan-2022
		Hilda Kellshell	Country Coordinator			
	All	Victoria Cuffy	Project Officer Green Climate Fund - Enhanced Direct Access (GFC - EDA) Project Dominica	N	edaprojectofficer@dominica.gov.dm	6-Jan-2022
All	Gita Gardner	M&E Focal point	N	Gita.Gardner@ab.gov.ag	6-Jan-2022	
Grenada PMU	Grenada	Beverly Hector	Country Coordinator	N	EDACC@detc.gov.gd	10-Jan-2022
		Tara Francis	Technical Officer	N	tara.francis@detc.gov.gd	
		Ranae Baptiste	Technical Officer	N	renaebaptiste@climateresilience.gov.gd	
		Keturah	Project Officer	N		
		Azeka Charles		N		
Grenada Output 3 coordinator	Grenada	Ranae Baptiste	Technical Officer	N	renaebaptiste@climateresilience.gov.gd	12-Jan-2022
DOE, Antigua	Antigua	Adien Greenaway	Output 2 Coordinator	N	Adien.Greenaway@ab.gov.ag	14-Jan-2022

Name of Key Stakeholder Group/Entity	Country (of Focus)	Name of Stakeholder Representative(s)	Title/ Position	Grantee?	Email Address	Meeting Date(s)
Project Manager	Grenada	Aria St. Louis	Head of Environment Division, Grenada	N	environment.sec@gmail.com	14-Jan-2022 8-Feb-2022
Agnes Esprit	Dominica	Agnes Esprit	National Coordinator	N		17-Jan-2022
PMU Dominica	All	Hilda Kelshall	Country Coordinator	N	coordinator@dominica.gov.dm	17-Jan-2022; 18-Jan-2022
		Amandy Shillingford	Technical Officer	N	technicalofficer@dominica.gov.dm	
		Victoria Cuffy	Project Officer	N		
Rural Development Unit	Grenada	Michelle John	Service Provider	N		18-Jan-2022
Output 3 Grantee	Antigua	Steps to Christ SDA Church	EDA CBO	Y		19-Jan-2022
Output 3 Grantee	Antigua	Tindal Temple SDA Church	EDA CBO	Y		19-Jan-2022
Output 3 Grantee	Antigua	EWIP Moravian Church		Y		19-Jan-2022
Output 3 Rejected Grant Applicant	Antigua			N		19-Jan-2022
OECS - KIM & Communications	All	Sonia Rees	Knowledge and Information Management Specialist	N	sonia.rees@oecs.int	19-Jan-2022
		Danny Moonie	Communications Specialist	N	danny.moonie@oecs.int	19-Jan-2022
OECS - Project & Procurement Leads	All	Vernon O'Brian	Project Manager	N	vernon.obrien@oecs.int	19-Jan-2022
		Myrtle Drysdale - Octave	Procurement Specialist	N	myrtle.doctave@oecs.int	19-Jan-2022
Technical Advisory Committee, A&B	Antigua	Ato Lewis	Chairman	N	Ato.Lewis@ab.gov.ag	19-Jan-2022
SIRF Fund Coordinator	Antigua	Romario Michael	Coordinator	N	Romario.Michael@ab.gov.ag	20-Jan-2022
	Dominica	Edgar Hunter	NCCC Chairman, Senior Technical in Min of Environment	N	coordinator@dominica.gov.dm	20-Jan-2022
Department of Environment - A&B	All	Daryl George	Senior Environment Officer	N	daryl.george@ab.gov.ag daryltgeorge@gmail.com	20-Jan-2022
PMC Chair	Antigua	Ena Henry	Permanent Secretary Ministry of Health and Environment	N	ena.henry@ab.gov.ag	20-Jan-2022
PMC Chair/TAC Chair	Grenada	Desiree Stephen	Permanent Secretary Min of Tourism and Environment	N	ps@tourism.gov.gd	21-Jan-2022
PMC Chair	Dominica	Mandra Fagan	Permanent Secretary, Ministry of Environment	N		
SIRF Fund Board Chair	Antigua	Whitfield Harris	Financial Secretary, Ministry of Finance	N	Whitfield.Harris@ab.gov.ag	25-Jan-2022

Name of Key Stakeholder Group/Entity	Country (of Focus)	Name of Stakeholder Representative(s)	Title/ Position	Grantee?	Email Address	Meeting Date(s)
SIRFF Consultant	Antigua	Nadia Spencer	SIRFF Consultant	N	Nadia.Spencer-Henry@ab.gov.ag	25-Jan-2022
DETC	Grenada	Dr. Kelvin George	Min. of Finance, NDA	N		25-Jan-2022; 1-Feb-2022
	Grenada	Tara Francis	Technical Officer	N		25-Jan-2022
Output 3 Concept Note Applicant	Grenada	St Mark Organization for Development	EDA CBO	Y	stmark.org87@gmail.com	26-Jan-2022
Department of Environment - A&B	All	Michai Robertson	Policy Officer Department of Environment	N	Michai.Robertson@ab.gov.ag	27-Jan-2022
		Shantel Victor-Cole	Senior Project Officer, DOE	N	Shantel.Victor-Cole@ab.gov.ag	
Output 3 Grantee	Antigua	Bible Speak SDA Church	EDA CBO	Y		27-Jan-2022
Output 3 Concept Note Applicant	Grenada	Adult & Teen Challenge, Grenada	EDA CBO			27-Jan-2022
Output 3 Concept Note Applicant	Grenada	Rotary Club of Grenada	EDA CBO			27-Jan-2022
DOE, Antigua	Antigua	Helena Jeffery Brown	Technical Officer	N	Helena.JefferyBrown@ab.gov.ag	27-Jan-2022
		Sharlin Lazarus	Project Administrative Assistant	N	Sharlin.Lazarus@ab.gov.ag	
Output 4 Service Provider (prop)	Grenada	Natasha Joseph	Grenada Development Bank	N	natasha.joseph@gdbbank.com	28-Jan-2022
Output 4 Beneficiary	Antigua	Revolving Loan Applicant Successful	Beneficiary SIRFF Revolving Loan Program	N		28-Jan-2022
Output 4 Beneficiary	Antigua	Revolving Loan Applicant Successful	Beneficiary SIRFF Revolving Loan Program	N		28-Jan-2022
Output 4 Beneficiary	Antigua	Revolving Loan Applicant Successful	Beneficiary SIRFF Revolving Loan Program	N		28-Jan-2022
Output 4 Beneficiary	Antigua	Revolving Loan Applicant Successful	Beneficiary SIRFF Revolving Loan Program	N		28-Jan-2022
Output 4 Beneficiary	Antigua	Revolving Loan Applicant Successful	Beneficiary SIRFF Revolving Loan Program	N		28-Jan-2022
Output 3 Concept Note Applicant	Grenada	Grenada Co-operative Nutmeg Association	EDA CBO	Y		28-Jan-2022
DETC, Min of Finance Grenada	All	Alister Bain	Senior Project Officer, DETC	N	alister.a.bain@detc.gov.gd	2-Feb-2022
Ministry of Tourism and Environment, Grenada	All	Beverly Hector	EDA Country Coordinator	N	EDACC@detc.gov.gd	2-Feb-2022

Name of Key Stakeholder Group/Entity	Country (of Focus)	Name of Stakeholder Representative(s)	Title/ Position	Grantee?	Email Address	Meeting Date(s)
DOE, Antigua	Antigua	Rashauna Adams-Matthew	Environmental Social Safeguard and Gender Officer	N	Rashauna.Adams-Matthew@ab.gov.ag	2-Feb-2022
Ministry of Works	Antigua	Jerod Craig Payne	Head of Roads	N		3-Feb-2022
DOE, Antigua	Antigua	Olverne Jacobs	Technical Officer, Ministry of Works Liaison	N		4-Feb-2022
DOE, Project Manager and Coordinator	Antigua	Craig Cole	EDA Coordinator, DOE	N	Craig.Cole@ab.gov.ag	22-Jan-2022
DOE	Antigua	Sharlin Lazarus Jamila Gregory	Project Administrative Assistant	N	Sharlin.Lazarus@ab.gov.a g	24-Jan-2022
Project Manager	Antigua	Whitfield Harris	Financial Secretary, Ministry of Finance	N	harris.whitfield@gmail.co m	25-Jan-2022
Environment Division	Grenada	Beverly Hector,	Country Coordinator, EDA Environment Division	N	EDACC@detc.gov.gd	26-Jan-2022
DOE	Antigua	Jamila Gregory Sharlin Lazarus	Project Administrative Assistant	N	Jamila.Gregory@ab.gov.a g Sharlin.Lazarus@ab.gov.a g	24-Jan-2022
DOE	Antigua	Chalisa Phillip	Compliance Officer at Department of Environment	N	chalisaphillip@gmail.com	1-Feb-2022
Environment Division	Grenada	Hilda Kelshall	Country Coordinator	N	coordinator@dominic a.gov.dm	27-Jan-2022
Environment Division	Grenada	Beverly Hector	Country Coordinator, GCF Enhanced Direct Access Project - Grenada	N	EDACC@detc.gov.gd	27-Jan-2022
GCF		Dr. Orville Gray	Regional Manager, Caribbean			9-Feb-2022
GCF		Folasade Ayonrinde	Office of Portfolio Management			17-Feb-2022
GCF		Joseph Intsiful	Senior Early Warning and Climate Information Specialist/Task Manager during Project development		jintsiful@gcfund.org	24-Feb-2022
Leaders Meeting	ALL					7-Mar-2022
Ministry of Carriacou and Petite Martinique Affairs	Grenada	Davon Baker	IT Manager, CC Focal Point			17-Mar-2022

Annex 3. Key Evaluation Questions

1. Relevance:

- **Are the planned project objectives and outcomes relevant and realistic to the situation in the three pilot Eastern Caribbean countries?**
- **Do outputs link to intended outcomes which link to broader paradigm shift objectives of the project?**
- **Are the planned inputs and strategies identified realistic, appropriate, and adequate to achieve the results? Are they sequenced sufficiently to efficiently deliver the expected results?**
- **To what extent is the Project addressing needs of the countries and target beneficiaries?**
 - a. To what extent are the project interventions aligned with / responsive to the goals and priorities of the countries' sustainable development plans, priorities and policies, climate goals and objectives, and other relevant documents?
 - b. How well are the project's objectives aligned with the countries' realities and needs? (e.g., in areas of disaster risk management, climate resilience, water resources, watershed management and resource management)
 - c. How well does the project improve climate change resilience and adaptive capacity and reduce CC vulnerability at different levels and sectors?
 - d. How does the project build resilience to future climate exposure?
 - e. How do the interventions support implementation of the countries' Nationally Determined Contributions (NDC) actions for adaptation (and mitigation)?
 - f. How well do the project activities align with national efforts, including NAPs?
 - g. How well does the project align with the GCF's strategic priorities and programmes?
 - h. How well did the project design and implementation strategy anticipate and mitigate potential risks to its objective and outcomes?
 - i. To what extent does the project design (i.e. priorities, outcomes, outputs, inputs and activities) address stakeholders' needs and is consistent with the culture of the main stakeholders and beneficiaries that have been identified?
 - j. Has the project identified the need for revision of its outputs since mobilisation? What were some of the factors that led to these adjustments?
 - k. Is the theory of change still valid?
 - i. To what extent are the project strategies, activities and components aligned? Will the activities/ interventions, as planned, lead to the realisation of expected results?
 - ii. What were the key assumptions made at design and were they valid? Have any of the assumptions changed since mobilization?
 - iii. Has there been changed circumstances (including critical constraints in the project's context)? Did this result in a change to the logical framework or was any needed change identified?

- iv. How has the project integrated gender-specific considerations?
- l. Are there weaknesses in project design, implementation, and monitoring and evaluation tools and processes?
 - i. Have there been changed circumstances (including critical constraints in the project's context)? Did these result in change to the logical framework or was any needed change identified?
 - ii. How has the project integrated gender-specific considerations?
- m. How has the sequencing proposed at design facilitated or hindered implementation?
- n. Does the design need to be modified in the second half of the project?

2. Effectiveness:

- **To what extent has the project's intended outcome(s), interim milestones been achieved or how likely will they be achieved, by project completion?**
 - a. What are the project's achievements based on the indicators established in the approved logical framework? Is the project as planned on target?
 - b. Is the quality of the outputs and achievements satisfactory?
 - c. What contributions have the project made to its intended outcomes? Has there been a reduction in vulnerability or increased adaptive capacity within the targeted beneficiary groups? If so, what are the changes observed?
 - d. What interventions, if any, did not effectively contribute to the project's results?
 - e. Has there been any change since the determination of the baseline?
 - f. How is capacity being strengthened for climate adaptation planning, implementation, and monitoring and evaluation via direct access in the region?
 - g. How has the project advanced efforts to implement concrete adaptation measures using ecosystem-based approaches where appropriate?
 - h. How are the targeted beneficiaries impacted by the project's interventions? What benefits have beneficiaries/ communities (especially vulnerability communities and groups) realised because of one or more project activities?
 - i. How is the revolving loan fund supporting CC adaptation and the adoption of resilience building actions?
 - j. Are there other initiatives that contributed to the outcomes achieved? If so, what was the project's role / contribution?
 - k. Will the project be likely to achieve its planned objectives upon completion? What are the main constraints, problems (challenges) in implementation that need to be resolved?
 - l. What is the status of knowledge management and lessons learned? How are the lessons documented and shared?
 - m. How is the SIRFF supporting CC adaptation and the adoption of resilience building actions?
 - n. What positive or negative unintended result has the project generated since its inception?

3. Efficiency:

- **How economically have the funds, expertise, time, etc. provided by the GCF been used to generate the results realised to date?**
- **Are the outputs being achieved in a timely manner?**
- **What and how much progress has been made towards achieving the overall outputs and outcomes of the project (including contributing factors and constraints)?**
- **How has the project dealt with issues and risks in implementation?**
- **To what extent did the project's M&E data and mechanism(s) contribute to achieving project results?**
- **What, if any, alternative strategies would have been more effective in achieving the project objectives?**
- **Have the assumptions held true during implementation?**
 - a. How are the decisions made by the project? Are there mechanisms for key stakeholder participation and input? Are there areas requiring improvements?
 - b. To what extent have the selected implementation modalities and arrangements been effective in achieving the expected results?
 - c. What factors (if any) affected project mobilisation? How have they been resolved?
 - d. Does the project utilise a results-based management approach? How does the project use the logical framework to inform planning and strategy adjustment? How is this approach used to adjust implementation strategies and inform work plan activity development?
 - e. Are the targeted indicator values realistic and can they be tracked and are being tracked? If necessary, how should they be modified to be more useful? Are indicators gender sensitive?
 - f. Are the means of verification for the indicators appropriate?
 - g. How effectively do the project management teams monitor project performance and results?
 - h. How has the project utilized and spent the allocated budget? Is expenditure aligned with the activities implemented and the results seen? Is expenditure disaggregated by activities implemented in each country? Are the GCF cost guidance / requirements being met? Has there been a revision in the allocation of funds? How was this justified?
 - i. How is co-financing tracked across activities and by country?
 - j. Has the project been implemented in a cost-efficient manner?
 - k. How has the project used its resources (inputs) to produce intended outputs (and by extension, results)?
 - l. What, if any, alternative strategies would have been more effective in achieving the objectives?
 - i. How have stakeholders been involved in project implementation? How effective has the project been in establishing national ownership?

- ii. Has the project been appropriately responsive to political, legal, economic, institutional etc. changes in the project environment?
 - iii. Have resources been used efficiently? Have activities supporting the strategy been cost-effective? In general, do the results achieved justify the costs? Could the same results be attained with fewer resources?
- m. Are management and implementation capacities adequate?
- n. Does project management facilitate good results and efficient delivery? Is there a clear understanding of roles and responsibilities by all parties involved?
- o. How effective have the project's a) Advisory and b) Technical groups been and how have they helped to resolve implementation constraints and provide strategic level guidance and direction?
- p. How successful has the project been at promoting multi-stakeholder coordination and collaboration among implementing partners and other stakeholders? What are some of the successful ways in which these have been achieved?
- q. Does the project receive adequate political, technical and administrative support from the national implementing partners and from each national level hierarchy?
- r. Has the capacity of the EEs and key implementing partners been built?
- s. What is the level of ownership of project activities by stakeholders?
- t. How has the project's internal and external communication supported the results achieved?
- u. How effective is communication between the project team, the GCF Secretariat and implementing partners?
- v. To what extent has the AE and EEs adhered to the conditions of the FAA?
- w. How has the COVID-19 pandemic impacted achievement of project results? To what extent have there been stimuli nationally or regionally to support the project?
- x. Have procurements been executed as planned? What have been the main challenges and issues encountered? How have these been resolved?
- y. To what extent has the project been effective at managing risk (technical, financial, ESS etc.) (overall and within each pilot country)? What are the main gaps and challenges?
- z. M&E:
 - Are there weaknesses in the monitoring and evaluation tools and processes?
 - Are the indicators established at design adequate?
 - Has the theory of change and logical framework been revised since the project's inception? If yes, what was the rationale for the modification? And what measures have been taken to ensure approval?
 - What mechanisms have been established across the project countries to facilitate M&E implementation?
 - What measures have been taken for each country to ensure there is adequate capacity for M&E implementation?
 - How has the M&E system assisted the country to meet the project's objective?

4. Coherence in climate finance delivery with other multilateral entities

- **Is there coherence and complementarity by the project with other actors for climate change interventions?**
- **To what extent has the project complemented other on-going local level initiatives (by stakeholders, donors, governments) on climate change adaptation or mitigation efforts?**

- a. How has the project complemented other previously implemented or ongoing initiatives that seek to build climate resilience in the three pilot countries?
- b. How effective have the different sources of financing been towards achieving the intended results?

5. Gender Equity

- **Does the project account in activities and planning for local gender dynamics and how project interventions affect women as beneficiaries?**

- a. Do women as beneficiaries know their rights and/or benefits from project activities/interventions?
- b. How do the results for women compare to those for men?
- c. Is the decision-making process transparent and inclusive of both women and men?
- d. To what extent are female stakeholders or beneficiaries satisfied with the project gender equality results?
- e. Are financial resources and project activities explicitly allocated to enable women to benefit from project interventions?
- f. What actions has the project taken in its implementation to ensure inclusion of women and the most vulnerable? If yes, what informed the project's integration of this actions?
- g. What project intervention specifically target the involvement of women?
- h. How has the project improved women participation (access and agency) and access to resources needed to improve climate resilience?
- i. Are there differences in how men and women access project resources and benefits?
- j. Are there differences in the results between men and women?
- k. How has the project benefitted those that are differently abled?

6. Country ownership of projects and programmes

- **How consistent is the GCF-funded EDA Project with the three Eastern Caribbean pilot countries local and national development and climate change mainstreaming and resilience building efforts?**

- a. How has country ownership been built through development of policies, plans, programmes that relate to the EDA Project?

- b. How does the project support implementation of climate policies and plans for the pilot countries (NDCs, NAPs etc.)?
- c. To what extent is the project aligned with national development plans, national plans of action on climate change, or sub-national policy as well as projects and priorities of the national partners?
- d. How well is country ownership reflected in the project governance, coordination and consultation mechanisms or other consultations?
- e. Were the modes of deliveries of the outputs appropriate to build essential and/or necessary capacities, promote national ownership and ensure sustainability of the results achieved?

7. Innovativeness in Results Areas

- **What role has the project played in the provision of "thought leadership," "innovation," or "unlocked additional climate finance" for climate change adaptation in the project and country context?**
 - a. To what extent has the project heightened national planning for building climate resilience?
 - b. How has the project supported efforts to expand climate financing for the countries?
 - c. How are good practices and lessons learned being captured to aid in promoting innovation in climate action?
 - d. How has the project brought a new solution to the development challenge (especially climate change and climate financing) being faced in the OECS countries?
 - e. Describe how the project has adapted to emerging challenges or opportunities?
 - f. Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?
 - g. What factors have contributed to the unintended outcomes, outputs, activities, results?

8. Replication and Scalability:

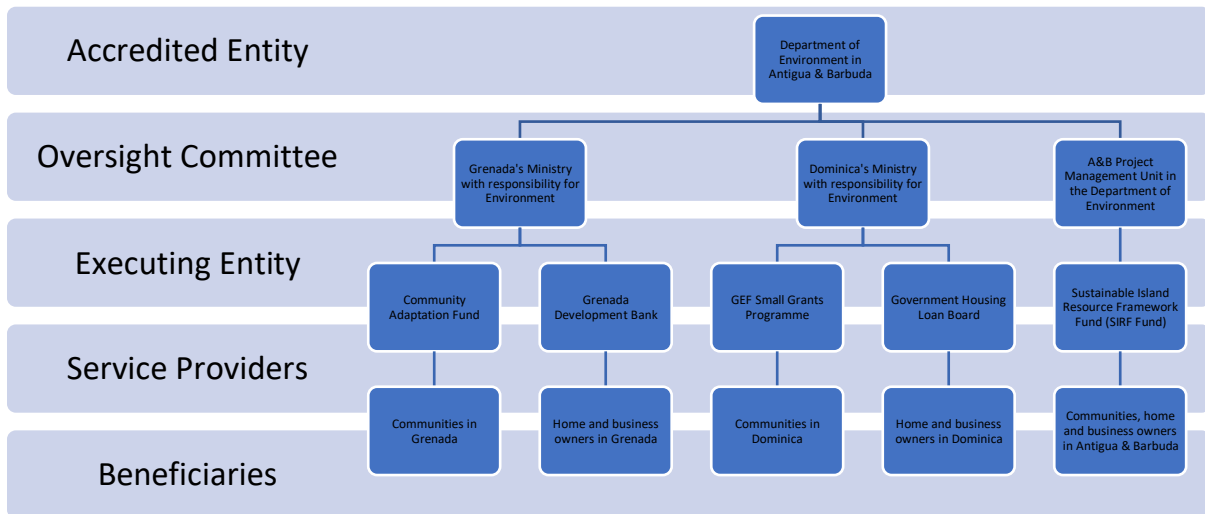
- **What are project lessons learned, failures or lost opportunities to date?**
- **What factors of the project achievements are contingent on specific local context or enabling environment factors?**
- **Are the actions and results from project interventions likely to be sustained, ideally through ownership by the local partners and stakeholders?**
- **What steps / measures has/will the project put in place to facilitate the continuation of benefits after project completion?**
 - a. What is the likelihood that the results can continue after the project ends?
 - b. What are the potential long-term benefits of the interventions supported by the project?
 - c. What are the mechanisms (strategies) instituted by the project to support the continuation of results beyond the project's life?

- d. What capacity (incl. human and institutional) has been built that will advance climate resilience after the life of the project?
- e. To what extent are contributions needed to continue to allow for benefits to accrue beyond the life of the project?
- f. What strategies has the project supported / established financial sustainable institutions and physical structures?
- g. What mechanisms have been established for learning and knowledge sharing within and external to the project?
- h. Are there any key risks (including environmental and social) associated that may affect the outcomes realized by the project? Are the ratings as indicated in the project document current?
- i. How could the financial, socio-economic, institutional and other country-specific factors eliminate or exacerbate these risks?

9. Unexpected Results (Both positive and negative):

- **Can any unintended or unexpected positive or negative effects be observed as a consequence of the project's interventions?**
- a. What has been the project's ability to adapt and evolve based on continuous lessons learned and the changing development landscape?
 - b. What factors have contributed to the unintended outcomes, outputs, activities, results?

Annex 4. Defined Institutional Structure for the EDA Project



Annex 5. Institutional Analysis

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
Antigua and Barbuda	Accredited Entity	ALL	1. Preparation and submission of Funding Proposal	1. Funding proposal developed and shared with participating countries and submitted. FA approved on March 16,2018.
			2. Project Oversight	2. Oversight of the Project has been in the form of regional PMC meetings and supporting the work of the PC who provides oversight for the individual PMUs. The AE includes leads on accreditation, M&E, procurement.
			3. Preparation and monitoring of subsidiary agreements	3. Subsidiary agreements prepared and signed with both MOE DOM and MOE GRD. Monitoring conducted by AE personnel (DOE's GCF Focal Point) and there is evidence of discussions with the EEs on outstanding items as well as escalation of the issues and dialogue held at the ATG Cabinet and regional ministerial levels. Although SA milestones are included in implementation plans, little evidence was provided on formal communication of breaches and/or reminders of binding conditions of the SAs. Following the first regional PMC meeting in April 2021 letters were sent to EEs in DOM and GRE regarding outstanding actions from the SAs. The AE shared other similar draft letters for the IE, but these were never dispatched to the EEs. At the time of the IE, during ATG visits with the EEs, the AE had dialogue with the DOM EE and pledged support towards advancing action on their SA condition of the environmental legislation, which is also a condition precedent for the Project's third disbursement.
			4. Execute a process for stakeholder engagement	4. The OECS Commission completed " <i>A Communications Strategy and Plan</i> " and the ATG has also completed its country stakeholder engagement plan. While the documents and the draft frameworks for DOM and GRD identify key project stakeholders and have an objective for engagement for successful project implementation, the strategies defined in these plans are limited to awareness type activities. There are other roles and responsibilities for stakeholders in the Project, including implementing partners, SPs, PMC and TAC members etc. and these have not been defined nor strategies to engage them for efficient and effective implementation determined. Examples of strategies for attention would be communication, participation in AWP development and ensuring their defined responsibilities are taken on board,

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
				requirements for their participation on PMC, TAC, TEC etc., including schedule for meetings. Also important is to identify implementing partners' capacity constraints and determine ways to support them to complete the tasks.
			5. Engagement of NDAs for No Objections and Endorsements	5. NDAs for all 3 countries have provided No Objections for the EDA funding proposal. No other project, No Objections and/or endorsements have been provided for the IE.
			6. Develop, execute and report on Logical Framework	6. The Log Frame developed at Project design was reviewed by the DOE ATG M&E Officer and with the support of the OECS Commission once onboarded to access the alignment with project activities and outputs. The review identified disconnects in some elements for example, means of verification didn't match the outputs, baseline data was missing, and targets not aligned. While the core of the approved log frame in the FAA could not be modified, effort was made to ensure that project country teams understood what was intended and refinement of the means of verification. Term Sheets have been drafted for all component activities and submitted on approval of the service provider.
			7. Submission of Term Sheets for all component activities	7. GCF funds are managed by the DOE and auditing functions carried out by internal and external auditors with oversight by an audit committee. Based on the FMCAs completed in July 2021 the AE is able to disburse funds to the EEs for implementation of components. Two external audits have been completed (2019 and 2020). The audit reports for 2019 and 2020 concluded that the financial status of the project is consistent with the cash flow. Actual spending was significantly below the planned spend rate. As of December 2021, aggregate spending was 8 quarters behind the plan for the Audit Report scoped the analysis to be limited use of funds consistent with GCF guidelines and International Accounting Standards using the Cas Basis IPSSAS.
			8. Management of GFC Funds	8. After GCF fund disbursement the AE was responsible for an implementation rate outlined in Schedule 2 of the FAA. They were also responsible to ensure that the rate of spend was in keeping with the FAA schedule but this did not materialize.
			9. Execute internal and external audits as required	9. The audit report only measured cash flow and not performance.

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			<p>10. Responsible for overall management implementation and supervision of the activities</p>	<p>10. The AE comprises 10 DOE staff:</p> <ul style="list-style-type: none"> ● A Civil Engineer, provides AE support and oversight for Component 2 ● An accounts team leader ● Component 3 grants oversight officer for the AE ● A Stakeholder consultant ● A building and asset management support officer personnel ● A Project Manager providing oversight for the project and specific oversight for C1, C3, C4 ● M&E and Oversight Supervisor to ATG EE M&E for C1 ● ESS and Gender specialist ● Knowledge Management and C1 personnel ● GCF focal officer and advisor on GCF FAA and AMA compliance and Accreditation Assistant -C1 <p>Management, Implementation and supervision are led by the Project Manager and Project Coordinator. The PC receives reports from Country Coordinators who in turn supervise their teams. Grenada's CC also reports to the PM at the DETC who signs off on her reports before submitting to the DOE. Leaders' meetings are held by the Regional Coordinator with CCs on a monthly basis, a process that was instituted in January 2022.</p>
			<p>11. Conduct of Monitoring, Evaluation and Reporting</p>	<p>11 MER is supported by a mix of processes, as part of the wider monitoring and accountability framework for accreditation. Key MER outputs include monthly staff, intern, and consultant reports, country project reports, Annual performance reports (APRs), including financial management reports. The Smartsheet has a workspace for each country that has space for monitoring at the output and activity level. The matrix is automated at the results tracker. In addition, interviews with component leads and reports from the PC feeds into Quarterly reports and the APRs.</p>
			<p>12. Ensuring that the GCF funds are disbursed and utilized according to the conditions of the FAA</p>	<p>10. After GCF fund disbursement the AE was responsible for an implementation rate outlined in Schedule 2 of the FAA. They were also responsible to ensure that the rate of spend was in keeping with the FAA schedule but this did not materialize. Disbursement to the EEs was delayed due to the extended FMCA</p>

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
				process and the AE had to undertake procurements on the countries behalf. On completion of the FMCA's the GCF approved AE disbursements to the EEs.
			13. Application of Fiduciary Oversight including the sub activity level	13. Fiduciary Oversight was effective as per the audit reports 2019 and 2020. However, from a project management point of view the framework used to establish the annual workplan/budget was inconsistent with the actual budget spent. The budget at the start of the fiscal year is not reflective of the annual budget with realistic assumptions.
			14. Management and monitoring of risks	14. Risk response actions have been implemented, however usually after risks have materialized. Risk management efforts to date include the measures being put in place to ensure management of environmental and social risks in compliance with the ESMP. Furthermore, risk management processes have not been executed as outlined in FAA, e.g., risk registers not updated quarterly. Additionally, there is little evidence of monitoring of risks and risk mitigation actions.
			AE as EE:	AE as EE:
			1. Provision of sound administrative, technical, financial, business and development practices.	1. The AE provided capacity in areas of Accreditation, M&E and Procurement and Finance and Accounting. A total of 4 technical persons plus the project team being paid from component 5. The AE was supported by 10 members of staff within the ATG PMU.
			AE not as EE:	AE not as EE:
			1. Assess capacity of the EE to implement the FA and ensure that EE is operating in accordance with the Planned Implementation Rate	1. Pre-feasibility studies were conducted for the 3 EDA countries that determined their capacity to implement the project activities. (Antigua - Undated), (Grenada - March 31, 2017), (OECS Scoping Study - April 2017), (Dominica - March 21, 2017) and ATG had a comparatively better capacity. For this ATG DOE was expected to provide support to the other countries, but there continued to be significant capacity gaps in the countries that did not allow them to operate according to the planned rate of implementation. Technical capacity and coordination weaknesses were identified in DOM. For Grenada insufficient data and information sharing limited capacity to design, implement and conduct M&E for projects. FMCA's were conducted for DOM

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
				and GRE in 2021 and these concluded that the countries had the capacity to manage the funds and allow for them to begin to receive disbursements.
			2. Maintain and comply with an adequate system to monitor the performance of the EE and assure regular reporting from them	2. EE staff provide regular monthly reports to the PC. The PC receives the CC reports and has devolved country PMU staff report supervision to the CCs. EEs also provide verbal reports during Leaders and regional PMC meetings. It is not entirely clear the extent to which these reports are validated and verified. Information is also input into Smartsheet, but not always done in a timely manner. The IE observed conflicts in a rate of implementation for one country, which was different by the AE checks against the EE's numbers and could not be validated by the IE given the established steps for each of the Outputs. SAs are monitored by a member of staff with responsibility for accreditation and there was evidence of discussion on outstanding items from the SAs with the EEs. However, these were largely not followed by formal communication on breaches of conditions etc. Examples of delayed SA conditions include GRD's opening of a bank account for the Project in 2022, which was due 6 months after signing of the SA, completion of country project implementation manuals and the enactment of comprehensive environmental legislation.
			3. Ensure that subsidiary agreements are reflective of the Terms and Conditions of the FAA	SA conditions in line with FAA Terms and Conditions
			4. Inform the GCF of changes in the AWP and also to seek remedial action as it relates to identified issues	Impact Assessment of COVID 19 was conducted and results communicated to the GCF by the AE. The AE informed the GCF of any delays in the project that affected the AWP. APRs reflected any such issues as well. GCF responded by providing more flexibility in the Project
			5. Procurement of goods and services for the FA should be carried out in accordance with the DOEs procurement guidelines	Procurements were undertaken in accordance with the DOEs and national procurement guidelines.
			6. Ensure that all documents related to the FA are adequately maintained and furnished	Although not all documents were easily accessible to the IE, evidence suggests that the AE provided documents on request by the GCF.

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			promptly to the GCF upon request	
			7. Conduct random periodic checks to ensure that funds are used in accordance with the FA via expenditure reports submitted to the AE by the EEs	Expenditure reports were presented but it is unclear how these were being used to guide decision making.
			8. Ensure GCF branding and appropriate references are made in reports, publications and media	GCF branding was not always done in accordance with requirements, but there is evidence of branding.
	Regional PC	All	1. Provide technical and administrative leadership to the project teams in the respective countries and act as the representative of the project at regional and international levels	PC has represented the Project at regional and international fora, e.g. COP. Technical and administrative leadership varied. The regional PMUs and ATG's activity coordinators were not always proactive in their support to the EEs. COVID 19 impacted communication.
			2. Observe policies and project management procedures of the AE to facilitate implementation and ensure delivery of high-quality outcomes, managing project files and data security across outputs	There is evidence of utilization of the DOEs policies and processes including various templates that were made available to the countries. Although Smartsheet was a project management tool of choice, it was not always adequately employed. Given the absence of a range of documents in Smartsheet, tracking of the project and supervision by the PC and team would have been difficult.
			3. Facilitate responsive project learning through independent evaluations of activities and project impact, and communicate results to a wide audience	The ATG TAC was to lead on annual wider presentations but there is no evidence of these being undertaken. The IE is being conducted by independent evaluators.
Antigua and Barbuda	Executing Entity	C1		

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
OECS Commission	M&E Contract with DOE (March 9, 2020 - Feb. 29 2024)	C1	1. Use of the laws and procedures of the GoA&B	According to the SAs and TAA (draft) the EEs were expected to use the laws and procedures of the DOE ATG.
			2. Monthly task reports	Reporting was evident monthly, with even more frequent weekly meetings of the respective teams.
			3. Supervision by the Project Manager	The DOE project manager had one contract review meeting on 20 December 2021.
			4. Develop detailed operational, financial and technical guides and manuals for Grenada and Dominica and provide training	<p>1 As above.</p> <p>2 The DOE project manager had one contract review meeting on 20 December 2021.</p> <p>3 As below completed:</p> <p>Knowledge and Information Management System Needs Assessment and Gap Analysis Report</p> <p>Operation Procedures for Life Cycle Management of Records and Information Framework for Information and record management guidelines</p> <p>A Guide to Knowledge Management.</p> <p>Status Assessment of the legal framework for sustainable public procurement</p> <p>Market Readiness Analysis of Sustainable Construction Materials</p> <p>OECS Model Policy on Sustainable Public Procurement of Construction Materials</p> <p>Action Plans for each of the three pilot countries</p> <p>Procurement Guidelines for Sustainable Construction Materials</p> <p>three-part webinar series focused on the Caribbean region entitled “Shaping the Future through Sustainable Public Procurement”</p> <p>Training was also provided on the new soon-to-be finalized Procurement Guidelines for Sustainable Construction Materials</p> <p>An 8-week online SPP course was offered through the OAS School of Governance Virtual Classroom</p> <p>Inception Report – completed</p> <p>Baseline Assessment</p> <p>M&E Matrix (Tracking tool) including clear roles and responsibilities for M&E</p> <p>establishment of a Slack Space for the EDA Project</p> <p>M&E Community of Practice established</p> <p>Several areas not completed detailed in the contract review report, largely due to delays in the accreditation process or limited by country capacity.</p>
			5. Design a Sustainable	Completed

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			Procurement system for construction supplies in Pilot countries	
			6. Support accreditation of direct access entities in the Eastern Caribbean.	Initial support included trainings, further support will be done through TAAs
			7. The EDA Project (DOE) will also provide support to the OECS commission to become an accredited entity.	OECS Accreditation application submitted.
			8. Monitoring, evaluation, reporting and promoting learning.	Inception Report – completed Baseline Assessment – completed including clear recommendations for an M&E System and Approach as well as key tools. 7 training engagements with the 3 countries. Basic capacity and knowledge of RBM enhanced in all three country teams. Commission established Baselines and Means of Verification for all countries and all indicators M&E Matrix (Tracking tool) including clear roles and responsibilities for M&E including time-sensitive updating Establishment of a Slack Space for the EDA Project and to support M&E activities facilitating exchange within country teams and between country teams. M&E Community of Practice established. Monthly update meetings institutionalized. Regular updating of Smartsheet and recording of 27% implementation of M&E activities (approx.) Draft Country Manual outline prepared (comments pending from DOE and OECS Commission).
			9. Terminal evaluation	No action, not yet applicable
			10. Communication and PR strategy for the EDA at the OECS Commission and St. Lucia.	Communication Plan was drafted in December 2021
Antigua and Barbuda	Executing Entity	C2-5	(See above)	
Antigua and Barbuda	PMC	ALL	1. Provide general oversight and guidance for the Project	Meets monthly with a membership of 7 persons including PSs and a budget analyst in the MOF. The PMC receives progress reports on a regular basis from the

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			<p>2. Facilitate inter-agency coordination</p> <p>3. Review and approve the annual work plans and annual technical reports</p> <p>4. Review and approve procurement plans and individual procurement requests</p> <p>5. Review budget and co-financing status</p> <p>6. Supervise the MERL aspects of the national component</p> <p>7. Review and advise on implementation of national project components as defined in the log frame and work plan.</p> <p>8. Monitor inputs of international and national partners, ensuring that project obligations are fulfilled in a timely and coordinated fashion</p> <p>9. Assist the DOE in managing and identifying project risks</p> <p>10. Review and approve project national outputs.</p> <p>11. Meets annually (but decided on monthly)</p>	<p>PM and takes decisions to guide implementation. The PMC reviews and approves AWP, PPs, Budgets, Reports, and provides approvals for PMU activities. The multi-ministry participation allows for input from key ministries and cross coordination of activities</p> <p>The PMC is supported by the PMU through the PM who is on hand to provide background for key decisions to be made.</p> <p>The ATG PMC acts as the regional PMC with invitation to the other country PMC Chairs and Project support staff.</p>
Antigua and Barbuda	TAC	C2-4	1. Assist in the recruitment of consultants and participate in the development of TORs	1. Reviewed and made recommendations involving TORs

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			2. Provide analysis of technical proposals	2. Reviewed the Call for Proposals for C3
			3. Provide technical advice and solutions to facilitate the completion of project activities.	3. Reviewed the ESIA-MP for the Cashew Hill Watershed Area. The TAC opined on the grant for 1 CBO and requested the report of the technical team based on a recommended site visit. The TAC also received a progress report on C3.
			4. Review technical documents and reports	4. No evidence of the TAC's review of technical reports
			5. Provide information and advice based on the work program of the represented agency	5. No evidence
			6. Update represented agencies on the project activities	6. Specific presentations from the PMU to the TAC were done at 5 meetings
			7. Participate in the M&E of the project activities	7. No evidence of TAC participation in any of the focused M7E activities of the project. However, the review of TAC meeting records highlight deliberations at the activity level that checks for alignment with the desired results of the project components
			8. Assist with project coordination including the review of the project report	8. No evidence found of TAC participation in the review meetings
			9. Facilitate and participate in workshops and consultations	9.
			10. Meets monthly and coordinates biannual technical update meetings.	10. Meets monthly but no evidence of biannual technical update meetings
Antigua and Barbuda	PMU	ALL	See above	See Above
Antigua and Barbuda	SP – C2 (MOF, MOW)	C2	MOF, through PSIP: <ul style="list-style-type: none"> ● Issue call for proposals ● Support evaluation and provide recommendation for funding to DOE 	Call issued and MOW selected to proceed to Full Proposal stage. Agreement executed in April 2021 between the Ministry of Health, Wellness and the Environment and the Ministry of Finance and Corporate Governance (of the

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
				One Part) and the MOW (of the Other Part) to develop two public sector interventions under Output 2.
Antigua and Barbuda	SP – C3 (SIRFF)	C3	1. Implementation of the GCF EDA Project Output 3, to demonstrate enhanced access for Civil Society Organizations (CSOs) and Non-Governmental Organizations (NGOs) through on-granting for adaptation in community buildings that promotes resilience to droughts, floods and hurricanes.	1. ATG EE provides support in the form of an oversight officer and a technical officer. The regional coordinator also provides support to C3. A TEC was established and screened concept notes and full proposals prior to awarding of grants.
			2. Provide technical assistance to conduct screening against eligibility criteria	2. The PMU staff screened the CNs and FPs followed by the TEC that completed evaluations at both stages before sending on to the TAC for recommendation and to the PMC for approval.
			3. Provide grants to CBOs to implement selected adaptation projects	3. 4 churches received full grants to implement defined shelter projects within the Cashew Hill area.
			4. Track lessons learned and report back	4. ATG project team captures lessons learned in staff monthly reports, project quarterly reports and the APRs. Templates are used by beneficiaries to document lessons learned. Lessons are shared with country teams during coordination meetings.
			5. Partner with the DOE to build track record with the GCF	5. The SIRFF has partnered with the DOE for the on granting component of the project and continues to build its track record in this area having previously implanted other on granting projects to other CBOs in other watersheds in ATG.
Antigua and Barbuda	SP – C4 (SIRFF)	C4	1. Operationalize the SIRF Fund process for adaptation in Homes, and Small Buildings used for businesses	1. The SIRFF process for RLs was applied to the EDA project with loans disbursed to 22 persons in vulnerable areas in the Cashew Hill Watershed.

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			(including farms) as per the New Building Code	
			2. Prepare annual reports	2. Reports prepared for the EDA Project
			3. Launch a media campaign	3. Media campaign used to build awareness of the RL program, including the process for application and processing, communication of awarded beneficiaries and types of adaptation
			4. Provide training for women, PWDs and other vulnerable groups to ensure resilience of community assets	4. Of the 22 number of loan beneficiaries, 15 number of women have received loans to date
Dominica	Executing Entity	C2-5	<p>1. Coordinate implementation of the activities</p> <p>2. Cabinet endorsement of the FA and decision to build the necessary capacity for implementation including where appropriate the enabling legal environment.</p> <p>3. Delivery by the EE of a detailed budget, procurement plan and work plan, each of which will cover the entirety of the PIP</p> <p>4. Evidence of ratification of the binding SA by the government</p> <p>5. Use of the GCF funds to finance eligible expenditure, in accordance with the FAA and SA</p> <p>6. The AE will conduct an initial assessment of the EE and SPs within the first 6 months to assess preparedness for decision making. At month 12 there will be a revised FMCA and assessment of the decision-making process. If the standards of the GCF are met</p>	<ul style="list-style-type: none"> ● Signed Subsidiary Agreement on July 3, 2019 ● NDA endorsement of the FA dated July 20, 2017 was sent to the GCF ● No evidence of Cabinet decision to build the necessary capacity and enact the environmental management bill. ● The Environment Bill is in draft and has not yet undergone its review, although a committee of Cabinet has been named. ● Bank account??? ● Project Manual ● PMU staff submits monthly reports

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			<p>the AE will devolve full decision making to the EE</p> <p>7. The EE will establish a separate bank account, with separate records and accounting.</p> <p>8. Completion of Project Manual within 6 months of signing the SA.</p> <p>9. Reporting: quarterly financial reporting; annual performance report, including ESS and gender policy reporting); final report; co-financing report within one month of the reporting period.</p> <p>10. Letter of endorsement of the co-financing contribution</p> <p>11. Co-financing reports as required</p>	
Dominica	PMC	ALL	As with ATG PMC	<p>1. Met 4 times although meetings are to be monthly.</p> <p>2. Challenges not easily addressed, including escalation to high level</p> <p>3. Approvals of project work, procurement plans and budget, hiring of staff, authorization of the DOE to make payments on their behalf, term sheet and grants manual for on-granting,</p>
Dominica	TAC (NCCSC)	C2-5	As with ATG TAC	1. Being revamped to be more purposeful
Dominica	PMU	ALL		
Dominica	SP – C2 (MOEA)	C2	<p>MOEA, through PSIP:</p> <ul style="list-style-type: none"> ● Issue call for proposals ● Support the evaluation of 	<p>Call issued and 3 CNs selected:</p> <ul style="list-style-type: none"> ● Strengthening of National Forests and Watersheds Resilience ● Disaster Risk Management

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			proposals and the provision of recommendation(s) for funding	<ul style="list-style-type: none"> • Drains and Culverts from Pointe Mitchel to Soufriere
Dominica	SP – C3 (GEF SGP)	C3	1. On-granting for adaptation in community buildings that promotes resilience to droughts, floods and hurricanes	1. GEF SGP approved as Service Provider
			2. Utilization of the SGP on-granting modalities to maximize efficiency in coordinating and improving capacity support to potential grantees.	2. DOE will disburse the funds, as UNOPS would require a 9% admin fee
			3. Lead on implementation of up to 6 projects which meet the EDA project selection criteria, with financing provided by the EE.	3. CFPs out and 32 CNs received to date, and summaries are being submitted to the NSC (TEC) for review prior to submitting to the NCCSC.
Dominica	SP – C4 (GHLB)	C4	1. Launch the private sector Revolving Fund for adaptation in buildings	1. Approval of the service provider is pending, following a lengthy selection process.
			2. Finance adaptation in buildings and manage repayments	2. Term Sheet has been developed and operational documents drafted.
				3. There has been uncertainty around selection of the GHLB since its legislation does not allow for providing loans to private individuals. A work-around was offered by the Attorney General but there is still no decision.
				4. A meeting was held between the MOE, the Honourable Prime Minister and the Minister of Finance to discuss a possible solution on this matter on March 9th, 2022 and a request was submitted thereafter by the Honourable Prime Minister to the Attorney General for urgent legal advice accordingly.
Grenada	Executing Entity	C2-5	As with DOM above	1. NDA endorsement of the FA dated August 27, 2019 was sent to the GCF
				2. Bank account was not established during the first 6 months of the project but is now established in 2022 and managed by the DETC. A request for first disbursement has been made, and following receipt of funds will be appropriately disbursed to the RDU (C3) and the GDB (C4).

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
				3. Environmental Management Bill not enacted, but in draft.
				4. PMU staff submits monthly reports
				5. CC reports to the DETC, MoF, Director
				6. TAA is pending signature by the PMC Chair but with issues with the use of the governing laws of ATG as well as ownership of data collection
Grenada	PMC	ALL	As with ATG above	1. Although meetings are to be held monthly, 10 meetings have been held since the start of the project.
				2. Difficult to get a quorum due to large numbers of members absent.
				3. Round robin used to achieve consensus and approval.
				4. Approvals of procurement plans, work plans, budget, use of ICCAS operational guidelines for C3, project staff.
Grenada	TAC (NCCC)	C2-5	As with Dom above	Review and recommendation for C2 and 3.
Grenada	PMU	ALL	As in SA	
Grenada	SP – C2 (Ministry of CPMA)	C2	MOF as part of executing mechanism in GRD: MOEA, through PSIP: <ul style="list-style-type: none"> ● Issue call for proposals ● Support the evaluation of proposals and the provision of recommendation(s) for funding 	Call issued and project by the CPMA Ministry chosen for further development and funding
Grenada	SP – C3 (RDU)	C3	1. On-granting for adaptation in community buildings that promotes resilience to droughts, floods and hurricanes	1. Signed contract with the RDU on September 24, 2021 (in effect until Dec 2022)
			2. Utilization of the RDU on-granting modalities to maximize efficiency in coordinating and	2. RDU has experience with community-based projects

Country	Institutional Structure	Related Component	Responsibilities (as per AMA, FAA or SA)	Performance against defined responsibilities
			improving capacity support to potential grantees.	
			3. Lead on implementation of up to 6 projects which meet the EDA project selection criteria.	3. Established processes and procedures and with independent bank account and procurement
			4. Responsibility for procurement, training and monitoring.	4. Unaware of how financial arrangements and monitoring plans, although the RDU has their own setup.
Grenada	SP – C4 (GDB)	C4		

Annex 6. PMC Resolutions

Country	Date	Resolution #	Resolution Description
ANTIGUA AND BARBUDA	10-Apr-19	#11/4-2019	APPROVAL FOR MR. MARTIN BARRITEAU, PROJECT COORDINATOR FOR THE EDA PROJECT AND AMBASSADOR BLACK-LAYNE TO TRAVEL TO GRENADA FOR THE SIGNING OF THE SUBSIDIARY AGREEMENT BETWEEN THE DOE AND THE MINISTRY RESPONSIBLE FOR ENVIRONMENT IN GRENADA.
	10-Apr-19	#10/4-2019	PERMISSION TO SUSPEND RESOLUTION #13/3-2019
	18-Sep-19	#7/11-2019	PERMISSION TO APPROVE EDA PRE - START UP DECISIONS
	08-Nov-19	#9/14-2019	PERMISSION TO APPROVE THE EDA BUDGET PROCUREMENT PLAN AND TERM SHEET FOR THE OECS.
	18-Dec-19	#11/11	PERMISSION FOR CONTRACT NEGOTIATIONS ON AGREEMENT THE OECS TO DO KNOWLEDGE MANAGEMENT SERVICES.
	26-Feb-20	#1/12-2020	PERMISSION TO CONTRACT THE OECS COMMISSION TO IMPLEMENT PROJECT OUTPUT 1 ACTIVITIES UNDER THE GREEN CLIMATE FUND (GCF) "ENHANCED DIRECT ACCESS" PROJECT
	26-Feb-20	#3/2-2020	PERMISSION TO PURCHASE FOUR (4) ELECTRIC VEHICLES FOR THE GREEN CLIMATE FUND (GCF) ENHANCED DIRECT ACCESS" (EDA) PROJECT
	26-Feb-20	#3/2-2020	PERMISSION TO CONTRACT THE OECS COMMISSION TO IMPLEMENT PROJECT OUTPUT 1 ACTIVITIES UNDER THE GREEN CLIMATE FUND (GCF) "ENHANCED DIRECT ACCESS" PROJECT
	26-Feb-20	#11/2/2020	PERMISSION TO CONTRACT MS. CAMARIA HOLDER FOR THE PERMISSION OF DEPUTY PROJECT COORDINATOR FOR THE GREEN CLIMATE FUND ENHANCED DIRECT ACCESS (EDA) PROJECT.
	25-Mar-20	#3/3-2020	PERMISSION TO ENTER INTO CONTRACT NEGOTIATIONS WITH MR. JOSEPH PROSPER TO COMPLETE THE ESMP FOR THE GREEN CLIMATE FUND ENHANCED DIRECT ACCESS (GCF EDA) PROJECT.
07-Sep-20	#6/8-2020	PERMISSION TO ENTER INTO CONTRACT NEGOTIATIONS WITH MR. JOSEPH PROSPER TO COMPLETE THE ESMP FOR THE GREEN CLIMATE FUND ENHANCED DIRECT ACCESS (GCF EDA) PROJECT.	

Country	Date	Resolution #	Resolution Description
	07-Sep-20	#6/8-2020	PERMISSION TO PROVISIONALLY APPROVE FOUR (4) GRANT APPLICATIONS FOR ADAPTATION TO COMMUNITY BUILDINGS UNDER THE GCF EDA PROJECT.
	13-Nov-20	#8/9-2020	PERMISSION TO RENEW THE CONTRACT OF MS. SHARLIN LAZARUS AS PROJECT ASSISTANT FOR THE PROJECT TITLED "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE, AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" (GCF EDA)
	23-Dec-20	#1/11-2020	PERMISSION TO CONTRACT MR. CRAIG COLE AS TECHNICAL OFFICER - PROJECT
	27-Jan-21	#3/01-2021	PERMISSION TO CONTRACT CONSULTANTS TO SERVE ON THE TECHNICAL EVALUATION COMMITTEE FOR COMPONENT 3 OF THE GCF EDA PROJECT
	27-Jan-21	#3/01-2021	PERMISSION TO CONTRACT CONSULTANTS TO SERVE ON THE TECHNICAL EVALUATION COMMITTEE FOR COMPONENT 3 OF THE GCF EDA PROJECT
	27-Jan-21	#5/01-2021	PERMISSION TO COMMENCE CONTRACT NEGOTIATIONS WITH THE SUSTAINABLE ISLAND RESOURCE FRAMEWORK (SIRF) FUND FOR THE EXECUTION OF OUTPUT 3 OF THE GCF EDA PROJECT
	24-Feb-21	#2/02-2021	MANAGEMENT UNIT FOR GRANT MAKING AND MONITORING PROGRAM FOR THE DEPARTMENT OF ENVIRONMENT
	24-Feb-21	#2/02-2021	PERMISSION TO CONTRACT KNYKO STUDIO AS STRUCTURAL DESIGN OF CBIT ENVIRONMENTAL REGISTRY BUILDING AND EDA OFFICE SPACE
	28-Apr-21	#11/04-2021	PERMISSION TO RENEW THE CONTRACT Ms. CAMARIA HOLDER AS INTERIM PROJECT COORDINATOR FOR THE GCF EDA PROJECT
	28-Jul-21	#6/07-2021	PERMISSION TO APPOINT MS. KELLY HEDGES TO THE TECHNICAL EVALUATION COMMITTEE (TEC) FOR THE GCF EDA PROJECT
	21-Oct-21	#6/10-2021	PERMISSION TO RENEW THE CONTRACT OF MS. SHARLIN LAZARUS AS PROJECT ASSISTANT FOR THE PROJECT TITLED "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE, AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" (GCF EDA)

Country	Date	Resolution #	Resolution Description
	24-Nov-21	#12/11-2021	PERMISSION TO ENGAGE IN CONTRACT NEGOTIATIONS WITH MS. ALICIA HAYMAN FOR THE POSITION OF GCF EDA INTERIM EVALUATION CONSULTANT
	22-Dec-21	#06/12-2021	PERMISSION TO PURCHASE MOSQUITO TRAPS FOR THE OUTPUT TWO OF THE GCF EDA PROJECT
	26-Jan-22	#05-02-2022	APPROVAL OF THE PROCUREMENT AND BUDGET PLAN 2022 FOR THE GCF EDA (ATG) PROJECT
DOMINICA	15-Apr-21	#02-2021	APPROVAL OF THE PROCUREMENT PLANS FOR 2021 FOR THE GREEN CLIMATE FUND (GCF) ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES OR (EDA) PROJECT.t.
	15-Apr-21	#03-2021	APPROVAL OF THE EDA PROJECT WORK PLANS FOR THE COMMONWEALTH OF DOMINICA, FOR THE YEAR 2021 FOR THE TITLED "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPMENT STATES" OR (EDA) PROJECT.
	15-Apr-21	#04-2021	APPROVAL OF THE HIRING OF EDA PROJECT STAFF FOR THE GREEN CLIMATE FUND (GCF) "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES OR (EDA) PROJECT.
	15-Apr-21	#05-2021	APPROVAL OF THE AUTHORIZATION FOR THE DEPARTMENT OF ENVIRONMENT (DOE), ANTIGUA AND BARBUDA TO PROCESS PAYMENTS ON BEHALF OF THE MINISTRY OF ENVIRONMENT, RURAL MODERNISATION AND KALINAGO UPLIFTMENT FOR PROJECT RELATED ACTIVITIES FOR THE GREEN CLIMATE FUND ENHANCED DIRECT ACCESS (GCF-EDA) OR EDA PROJECT. THE ARRANGEMENT WILL REMAIN IN PLACE UNTIL A FINANCIAL MANAGEMENT CAPACITY ASSESSMENT (FMCA) FOR THE MINISTRY HAS BEEN APPROVED BY THE GREEN CLIMATE FUND (GCF).
	21-Jul-21	#06-2021	APPROVAL OF THE TERM SHEET WITH ONGRANTING SERVICE PROVIDER, DOMINICA - GLOBAL ENVIRONMENT FACILITY SMALL GRANTS PROGRAMME (GEF-SGP) FOR THE GREEN CLIMATE FUND (GCF) ENHANCED DIRECT ACCESS (EDA) PROJECT ENTITLED "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" OR (EDA) PROJECT

Country	Date	Resolution #	Resolution Description
		#08 - 2021	APPROVAL OF THE ON-GRANTING MANUAL FOR OUTPUT 3 "COMMUNITY RESILIENCE TO CLIMATE IMPACTS IS ENHANCED THROUGH TANGIBLE ADAPTATION BENEFITS" FOR THE GREEN CLIMATE FUND (GCF) ENHANCED DIRECT ACCESS (EDA) PROJECT ENTITLED "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" OR (EDA) PROJECT.
Grenada	28-Jan-21	#9/01-2021	APPROVAL OF THE PROCUREMENT PLAN FOR FY 2021 FOR THE GCF "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" OR "EDA PROJECT", FOR GRENADA; AND FURTHER APPROVAL THAT THE AE ("DOE ATG") WILL CONTINUE TO MAKE PAYMENTS ON BEHALF OF THE GOVERNMENT OF GRENADA UNTIL SUCH TIME THAT THE FINANCIAL MANAGEMENT CAPACITY ASSESSMENT (FMCA) FOR THE MINISTRY WITH RESPONSIBILITY FOR ENVIRONMENT, GRENADA HAS BEEN APPROVED BY THE GREEN CLIMATE FUND.
	28-Jan-21	#10/01 - 2021	APPROVAL OF THE PROCUREMENT PLAN FOR FY 2021 FOR THE GCF "ACCELERATING GRENADA'S DAE MODALITY FOR THE EFFECTIVE IMPLEMENTATION — THE COUNTRY'S GOAL TOWARDS A SMALL SMART STATE" OR GCF GRENADA READINESS PROJECT.
		#14/05 - 2021	APPROVE THE USE OF THE UPDATED CLIMATE CHANGE ADAPTION FUND (CCAF) OPERATIONAL GUIDELINES FOR THE ON GRANTING OF COMPONENT 3 FOR THE "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" OR EDA PROJECT.
	08-Jul-21	#13/07-2021	TO ENDORSE THE USE OF THE UPDATED CLIMATE ADAPTATION FUND(CCAF) OPERATIONAL GUIDELINES FOR THE INGRANTING OF COMPONENT 3 FOR THE INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN ISLAND DEVELOPING STATES" OR EDA PROJECT.
	17-Feb-22	#16/02-2022	APPROVAL OF THE BUDGET AND PROCUREMENT PLAN FOR FY 2022 FOR THE GCF "INTEGRATED PHYSICAL ADAPTATION AND COMMUNITY RESILIENCE THROUGH AN ENHANCED DIRECT ACCESS PILOT IN THE PUBLIC, PRIVATE AND CIVIL SOCIETY SECTORS OF THREE EASTERN CARIBBEAN SMALL ISLAND DEVELOPING STATES" OR (EDA) PROJECT, FOR GRENADA.

Country	Date	Resolution #	Resolution Description
	17-Feb-22	#17/02-2022	APPROVAL FOR MS. KETURAH STANISCLAUS TO ACT IN THE POSITION OF TECHNICAL OFFICER FOR A PERIOD OF 3 MONTHS IN THE FIRST INSTANT
	17-Feb-22	#17/02-2022	APPROVAL FOR MS. SHADELL STAFFORD TO BE APPOINTED TO ACT AS PROJECT OFFICER FOR A PERIOD OF 3 MONTHS IN THE FIRST INSTANT UNTIL THE POSITION OF TECHNICAL OFFICER IS FILLED.

Annex 7. Planned and Actual Expenditure and Liquidity for the EDA Project

Budget Lines		2019			2020			2021		
		Budget	Spend	excess liquidity	Budget	Spend	excess liquidity	Budget	Spend	excess liquidity
Sub-Activity	1.1	\$35,000.00	\$ -	\$(35,000.00)	\$ 90,000.00	\$60,468.75	\$(29,531.25)	\$84,931.25	\$14,895.46	\$(70,035.78)
	1.2	\$78,000.00	\$ -	\$(78,000.00)	\$26,000.00	\$78,000.00	\$52,000.00	\$(24,000.00)	\$ -	\$24,000.00
	1.3	\$42,000.00	\$16,739.83	\$(25,260.17)	\$43,000.00	\$26,739.83	\$(16,260.17)	\$68,260.17	\$7,500.00	\$(60,760.17)
	1.4	\$246,000.00	0	\$(246,000.00)	\$131,000.00	\$97,688.79	\$(33,311.21)	\$185,311.21	\$22,996.04	\$(162,315.17)
Output 1		\$401,000.00	\$16,739.83	\$(384,260.17)	\$290,000.00	\$262,897.37	\$(27,102.63)	\$314,502.63	\$45,391.51	\$(269,111.12)
Sub-Activity	2.1	40000	0	\$(40,000.00)	\$73,000.00	\$3,250.06	\$(69,749.94)	\$133,084.73	\$26,264.92	\$(106,819.81)
	2.2	\$150,000.00	0	\$(150,000.00)	\$476,000.00	\$2,489.96	\$(473,510.04)	\$975,510.04	\$135,824.89	\$(839,685.16)
	2.3	0	0	\$ -	\$ -	0	\$ -	\$7,740,000.00	\$171,634.37	\$(7,568,365.63)
Output 2		190000	0	\$(190,000.00)	\$549,000.00	\$5,740.02	\$(543,259.98)	\$8,848,594.78	\$333,724.17	\$(8,514,870.61)
Sub-Activity	3.1	5000	0	\$(5,000.00)	\$111,000.00	\$11,500.00	\$(99,500.00)	\$216,500.00	\$30,228.26	\$(186,271.74)
	3.2	0	0	\$ -			\$ -	\$2,700,000.00	\$450,000.00	\$(2,250,000.00)
Output 3		5000	0	\$(5,000.00)	\$111,000	\$11500	\$-99500	\$2,916,500	\$480,228.26	\$(2,436,271.74)
Sub-Activity	4.1	35000	0	\$(35,000.00)	\$135,166.67	\$3,136.78	\$(132,029.89)	\$258,196.56	\$89,875.20	\$(168,321.36)
	4.2	1,000,000.00	0	\$(1,000,000.00)	\$300,000.00	\$743,360.00	\$443,360.00	\$4,056,640.00	\$ -	\$(4,056,640.00)
Output 4		\$1,035,000.00	-	\$(1,035,000.00)	\$435,166.67	\$746,496.79	\$311,330.12	\$ 4,314,836.55	\$89,875.20	\$(4,224,961.35)
Output 5		\$195,000.00	0	\$(195,000.00)	\$290,400.00	\$142,620.34	\$(147,779.66)	\$399,679.66	\$196,240.30	\$(203,439.36)
Total		\$1,826,000.00	\$16,739.83	\$(1,809,260.17)	\$1,675,566.67	\$1,169,254.51	\$(506,312.16)	\$16,794,113.62	\$1,145,459.45	\$(15,648,654.17)

Annex 8. Key Risks Identified and Assessed in the FAA (2019)

Risk Factor	Risk Description	Risk Category	Level of Impact	Probability of Risk Occurring
1. Staff and HR capacity	Unavailability of appropriate personnel to undertake the assignment in pilot countries.	Technical and operational	High (>20% of project value)	High
2. USD to ECD conversion loss	The Eastern Caribbean Dollar (ECD) is pegged to the USD, however the USD is bought at Eastern Caribbean (ECD) 2.67 but sold at ECD 2.71 – this will result in a total project budget conversion loss of USD 800,000.	Financial	Low (<5% of project value)	High
3. Failure to achieve country ownership in the pilot SIDS	Failure to empower countries, communities and businesses will result in low responses to the Call for Proposals for grants, and low applications for the Revolving Fund. Lack of capacity in pilot countries can cause delays in overall project implementation.	Social and environmental	Medium (5.1-20% of project value)	Low
4. Scope Creep	Scope creep is a risk to this project given so many agencies and NGOs each with their priorities. At the end of the consultation exercise there are normally more projects and activities than budget. The process of rationalizing this must be carefully handled.	Technical and operational	Medium (5.1-20% of project value)	Medium
5. Timing mismatch between the cash inflows and cash outflows	Expected disbursements to the Accredited Entity from the Green Climate Fund do not materialize within the expected time frames, resulting in delays and project cost over-runs.	Financial	Low (<5% of project value)	Medium
6. Price fluctuations of goods, works and services	The pilot countries have small populations all under 150,000 in each island, and small private sectors, which makes supply and demand susceptible to price distortion. The risk is that with the activity of the EDA, this will distort prices and result in higher prices for goods, works and services. In addition, construction materials for adaptation include sand, wood, etc., and the procurement of these materials could negatively impact natural resources.	Financial	Low (<5% of project value)	Medium

Annex 9. An inventory of complementary initiatives funded by other MEAs relevant to Outputs 2, 3 and 4 of the GCF EDA Project for ATG, DOM, GRD

EDA COUNTRY	OUTPUT 2 (PUBLIC SECTOR)	OUTPUT 3 (NGOs/CBOS)	OUTPUT 4 (REVOLVING LOANS)
ANTIGUA	<ul style="list-style-type: none"> • Public Sector Investment Programme (PSIP) – ongoing project-based support provided by the consolidated fund in the national budget process. • GCCA – Global Climate Change Alliance Project on Climate Change Adaption and Sustainable Land Management invested in public sector adaptation projects • GCF BUILD – GCF Building Resilience to Hurricanes and Drought in the Building Sector will invest in public sector adaptation 	<ul style="list-style-type: none"> • MEPA Trust / CBF – The Caribbean Biodiversity Fund established a national trust fund, the Marine Ecosystems Protected Areas Trust (MEPA Trust) • GEF SGP – The GEF Small Grants Programme in addition to bilateral support awards approximately USD 400,000 per year to small grant community initiatives, including for climate change adaptation 	<ul style="list-style-type: none"> • CRew – Testing a Prototype Caribbean Regional Fund for Wastewater Management • SCCF/SIRF FUND – Building Climate Resilience Through Innovative Financing Mechanism (the SIRF Fund) for Adaptation • Adaption Fund project – will capitalize the SIRF Revolving Fund Programme for Adaptation with USD 3 million • GCF BUILD – GCF Building Resilience to Hurricanes and Drought in the Building Sector will upscale private sector financing for adaptation
DOMINICA	<ul style="list-style-type: none"> • WB CPACC- capacity building to cope with the impacts of climate change, particularly sea level rise, vulnerability assessments, and adaptation planning. This was accomplished through the completion of vulnerability assessments, adaptation planning, and capacity building activities. • ACCP- was to mainstream climate change adaptation strategies into the sustainable development agendas of the Small Island and low-lying states of CARICOM • Dominica's Disaster Vulnerability Reduction Project (DVRP)- reduce vulnerability to natural hazards and climate change impacts in Dominica through investments in resilient infrastructure and improved hazard data collection and monitoring systems. • GCCA- Climate Change Adaptation and Sustainable Land Management in the Eastern Caribbean including Dominica, with a focus on slope and road stabilization 	<ul style="list-style-type: none"> • JCCCP- focused on low-emissions risk resilient development by improving energy security and integrating medium to long term planning for adaptation to climate change. The project supported policy innovation through the development of several nationally appropriate mitigation action and national adaptation plans. Emphasis was placed on water resource management, sustainable agriculture, community-based climate smart resilient infrastructure, renewable energy and energy efficiency. • ECMMAN Livelihoods Support Fund (LSF) Facility • CATS-GIZ- the program has looked at improving agricultural practices and managing the existing marine reserve in the south of the island to sustain livelihoods. • GEF SGP- Climate change adaptation community-based projects funded by Direct Foreign Aid Department (Australia). This includes storm drains, training in vulnerability risk assessments, activities to reduce land slippage (planting along slopes/drains). 	
GRENADA	<ul style="list-style-type: none"> • PPCR- Regional (Grenada) Disaster Vulnerability Redaction Project'- measurably reducing vulnerability 	<ul style="list-style-type: none"> • Climate Change Adaptation Project (ICCAS) • Japan-Caribbean Climate Change Partnership 	<ul style="list-style-type: none"> • Climate Finance Readiness (GIZ, CDG EFO)

EDA COUNTRY	OUTPUT 2 (PUBLIC SECTOR)	OUTPUT 3 (NGOs/CBOS)	OUTPUT 4 (REVOLVING LOANS)
	<p>to natural hazards and climate change impacts in Grenada and in the Eastern Caribbean.</p> <ul style="list-style-type: none"> • Eastern Caribbean Marine Managed Areas Network Project • GEF Ridge to Reef • GCCA/OECS Climate Change Adaptation Project • Building Capacity for Coastal Ecosystem Based Adaptation in Small Island Developing States 	<ul style="list-style-type: none"> • Climate Finance Readiness (GIZ, CDG EFO) 	

Annex 10. Rating Scale

Criteria	Rating Scale for Evaluating Project Performance Against the Defined Criteria	
1. Relevance, effectiveness and efficiency of projects and programmes	Determined by combining ratings for relevance, effectiveness and efficiency.	
<i>a. Relevance</i>	Highly Satisfactory (HS)	There is excellent alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
	Satisfactory (S)	There is good alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
	Moderately Satisfactory (MS) -	There is good alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
	Moderately Unsatisfactory (MU)	There is fairly good alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome is expected to achieve most of its end-of-project targets with major shortcomings.
	Unsatisfactory (U) -	There is little alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome is expected not to achieve most of its end-of-project targets.
	Highly Unsatisfactory (HU)	There is no alignment of the Project (including its objectives, design and vertical logic) with country realities, needs and priorities AND The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.
<i>b. Effectiveness</i>	Highly satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were no short comings
	Satisfactory (S) -	Level of outcomes achieved was as expected and/or there were no or minor short comings
	Moderately Satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate short comings
	Moderately Unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings
	Unsatisfactory (U) -	Level of outcomes achieved substantially lower than expected and/or there were major short comings
	Highly Unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe short comings

Criteria	Rating Scale for Evaluating Project Performance Against the Defined Criteria	
<i>c. Efficiency</i>	Highly satisfactory (HS)	The project has no shortcomings.
	Satisfactory (S)	The project has minor shortcomings.
	Moderately satisfactory (MS)	The project has moderate shortcomings.
	Moderately unsatisfactory (MU)	The project has noticeable shortcomings.
	Unsatisfactory (U)	The project has major shortcomings.
	Highly unsatisfactory (HU)	The project has severe shortcomings.
2. Coherence in climate finance delivery with other multilateral entities 3. Gender Equity 4. Country Ownership of Projects and Programmes 5. Innovativeness in Results Areas	Highly satisfactory (HS)	The project has no shortcomings.
	Satisfactory (S)	The project has minor shortcomings.
	Moderately satisfactory (MS)	The project has moderate shortcomings.
	Moderately unsatisfactory (MU)	The project has noticeable shortcomings.
	Unsatisfactory (U)	The project has major shortcomings.
	Highly unsatisfactory (HU)	The project has severe shortcomings.
6. Replication and scalability	Highly satisfactory (HS)	The project has no shortcomings. There are no/negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
	Satisfactory (S)	The project has minor shortcomings. There are minor risks, but expectations that most outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
	Moderately satisfactory (MS)	The project has moderate shortcomings. There are moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
	Moderately unsatisfactory (MU)	The project has noticeable shortcomings. There are significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
	Unsatisfactory (U) -	The project has major shortcomings. There are major risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
	Highly unsatisfactory (HU)	The project has severe shortcomings. There are severe risks that project outcomes as well as key outputs will not be sustained.
7. Unexpected results (both positive and negative)	Highly satisfactory (HS) -	The project has no shortcomings as it relates to its response to unexpected results.

Criteria	Rating Scale for Evaluating Project Performance Against the Defined Criteria	
	Satisfactory (S) -	The project has minor shortcomings as it relates to its response to unexpected results.
	Moderately satisfactory (MS)	The project has moderate shortcomings as it relates to its response to unexpected results.
	Moderately unsatisfactory (MU) -	The project has noticeable shortcomings as it relates to its response to unexpected results.
	Unsatisfactory (U)	The project has major shortcomings as it relates to its response to unexpected results.
	Highly unsatisfactory (HU)	The project has severe shortcomings as it relates to its response to unexpected results.
OVERALL RATING	<p><i>Guidelines for Overall Rating Determination:</i></p> <ul style="list-style-type: none"> • With a Highly Unsatisfactory rating for Relevance, Effectiveness, or Replication and Scalability (sustainability), the highest achievable overall rating is Unsatisfactory • With an Unsatisfactory rating for Relevance, Effectiveness, or Replication and Scalability (sustainability), the highest achievable overall rating is Moderately Unsatisfactory. • For a Highly Satisfactory rating, no rating on any core criteria can be less than Satisfactory. • With a Moderately Unsatisfactory rating for relevance, effectiveness, or sustainability, the highest achievable overall rating is Moderately Satisfactory. 	